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FINANCIAL DISCLOSURE REPORTS
MEMBERS OF HOUSE OF REPRESENTATIVES
JANUARY 1–DECEMBER 31, 1997
VOLUME 3 OF 3

United States Congressional Serial Set

Serial Number 14491

United States Government Printing Office
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105th Congress, 2d Session - - - - - - - - - - - - House Document 105–280

FINANCIAL DISCLOSURE
REPORTS
OF MEMBERS OF THE U.S. HOUSE OF REPRESENTATIVES

FOR THE PERIOD BETWEEN

January 1, 1997 and December 31, 1997

COMMUNICATION FROM THE CLERK OF THE HOUSE

TRANSMITTING

THE ANNUAL COMPILATION OF PERSONAL FINANCIAL DISCLOSURE STATEMENTS AND AMENDMENTS THERETO FILED WITH THE CLERK OF THE HOUSE OF REPRESENTATIVES, PURSUANT TO 2 U.S.C. 703(d)(1) AND RULE XLIV, CLAUSE 1, OF THE HOUSE RULES

(Volume 3 of 3)

JULY 14, 1998.—Referred to the Committee on House Oversight and ordered to be printed

U.S. GOVERNMENT PRINTING OFFICE

49–736 WASHINGTON : 1998

LETTER OF TRANSMITTAL

OFFICE OF THE CLERK,
U.S. HOUSE OF REPRESENTATIVES,
Washington, DC, July 2, 1998.

Hon. NEWT GINGRICH,
The Speaker, The Capitol,
House of Representatives, Washington, DC.

DEAR MR. SPEAKER: I hereby submit the annual compilation of personal financial disclosure statements filed with the Clerk of the House of Representatives pursuant to the Ethics in Government Act of 1978, as amended, 5 U.S.C. app. § 101–111 (1994), and House Rule XLIV.

This compilation contains the personal financial disclosure statements and amendments thereto required to be filed by Members of the House pursuant to the Act and House Rule XLIV by May 15, 1998. The compilation includes reported financial transactions which occurred between January 1, 1997 and December 31, 1997.

House Rule XLIV provides that the annual compilation of reports filed with the Clerk be printed as a House document by August 1 and contain all such reports filed by Members within the period beginning January 1 and ending June 15 of each year. This compilation is submitted accordingly.

Sincerely yours,

ROBIN H. CARLE,
Clerk, U.S. House of Representatives.

Enclosure.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC HAND DELIVERED (10)
(Office Use Only)

Collin C. Peterson
(Full Name)

Route 2 Box 287
(Mailing Address)

Detroit Lakes MN 56501

Daytime Telephone: 202-225-2165

Filer Status	[X] Member of the U.S. House of Representatives	State MN District 07	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes [ ]	No [X]
EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report, may be subject to civil penalties and criminal sanctions. (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001)

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5-15-98

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SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000 For further information, see Instructions, pages 12-13

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Hall for Congress Committee	musician fee	$300 00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium.
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package For further information, see Instructions, pages 13-14

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash , D C	Speech	Feb 2, 1994	$2,000
	XYZ Magazine	Article	Aug 13, 1994	$500

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year For rental property or land, provide an address Provide full names of any mutual funds For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000 For an IRA or retirement plan that is *not* self-directed, name the institution holding the account **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U S Government retirement programs If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used If an asset was sold and is included only because it generated income, the value should be "None"	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC *Examples* SP JT Mega Corp Stock 123 Main St , Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
Peterson Fox, Inc - common stock	$50,001 - $100,000	common stock	None	
Lakeland Estates, Inc - notes/common stock	$15,001 - $50,000	interest, capital gains	None	
Lakewest Properties - partnership	$15,001 - $50,000	Rent	$5,001 - $15,000	
Bekkerus Schott & Co - contract	$50,001 - $100,000	interest, capital gains	$5,001 - $15,000	
Technimar Industries, Inc - stock	$15,001 - $50,000	common stock	None	P

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SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Technimar Industries, Inc. -common stock	Purchase	4/16/97	$15,001 - $50,000

Name Collin C. Peterson	Page 6 of 10

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child Mark the highest amount owed during the year
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.	$100,001 - $250,000
	Peterson Fox, Inc 50% ownership	demand loan created when the stock was issued 1/1/90	$15,001 - $50,000

SCHEDULE VI -- GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold

Note: The gift rule (House Rule 52 in the 104th Congress, renumbered as House Rule 51 of the 105th Congress) prohibits gifts except as specifically provided in the rule

For further information, see Instructions, pages 22-24

Source	Description	Value
Example Mr Joseph H Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270

Name Collin C Peterson | Page 8 of 10

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U S C 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you For further information, see Instructions, pages 24-26

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash , D C -Chicago-Wash , D C	N	N	N	N
Mega Corporation	Aug 6-13	Wash , D C -Los Angeles-Cleveland	Y	Y	Y	4 Days
American Farm Bureau Federation	1/5/97-1/6/97	FARGO-Minneapolis-Nashville	Y	Y	N	none
Safari Club International	1/29/97-2/1/97	Minneapolis-LAS VEGAS - Washington, D C	Y	Y	N	none
Ripon Educational Fund - (Delta Airlines)	8/9/97-8/16/97	Minneapolis-Cincinnati-JFK-Prague-JFK-Washington	Y	Y	Y	one
Non Prescription Drug Manufacturers	5/16/97	White Sulphur Springs, WV	Y	Y	N	none

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States For further information, see Instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Organization
President & Unpaid Director	Peterson Fox, Inc.
President & Unpaid Director	Lakeland Estates, Inc.
Partner	Lakewest Properties

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26-27.

Date	Parties To	Terms of Agreement
12/27/90	self & Bekkerus Schott & Co., Ltd	payments for former business payable over 6 years

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

John E. Peterson
(Full Name)

248 N Main
(Mailing Address)

Pleasantville, PA 16341

Daytime Telephone 814/589-5241

Filer Status	[X] Member of the U.S. House of Representatives	State PA District 05	[ ] Officer or Employee — Employing Office
Report Type	[XX] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [XX]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [XX]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: John E. Peterson

DATE (Month/Day/Year): 5/13/98

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Name	John E. Peterson	Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$[illegible],000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	N/A
Commonwealth of Pennsylvania	Pension	15,060

For payments to charity in lieu of honoraria, use Schedule II.

Name John E. Peterson | Page 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S) or exchanged (E) in reporting year.

Owner	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Type of Income	Amount of Income	Transaction
SP	Mega Corp. Stock					X								X DIVIDENDS	X None	
DC	*Examples:* Smith & Schlister			Indefinite										RENT		
JT	1st Bank of Podunk NY accounts						X							X INTEREST	X $201 – $1,000	P
	288 N Main, Plas. PA				X									X CAPITAL GAINS	X $1,001 – $2,500	
	130 N 2nd St. Plas, PA				X									X EXCEPTED TRUST	X $2,501 – $5,000	
	IDS Growth Fund, Class A				X									X QUALIFIED BLIND TRUST	X $5,001 – $15,000	
	Prudential-Common Fund				X									Variable Appreciable Life	X $15,001 – $50,000	
	Prudential Utility Fund				X									IRA	X $50,001 – $100,000	
	Prudential Nat Res. Fund				X									Variable Appreciable Life	X $100,001 – $1,000,000	
															X $1,000,001 – $5,000,000	
															Over $5,000,000	

Other Type of Income (Specify, for Example, Partnership Income or Farm Income): Hay Farms

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name John Peterson

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P S E
	Prudential High Div. Fund			X											Avariable				Appreciable			Life										
	Prudential Equity Income F			X												IRA																
	Series Mutual Fund				X											IRA																
	Northstar Growth Fund				X											IRA																
	Putnam Fund			X												IRA																
	Larbarge, Inc			X										X									X									
	Aqua Penn			X																												P
	Brain Tech			X																												P

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SCHEDULE IV — TRANSACTIONS

Name John Peterson

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10 12 97		X								
	Aqua Penn common stock	X			12-97	X									
	Braintech Common Stock	X			5-98	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Northwest Savings Bank	Prime Line		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	John Peterson	Page 7 of 7

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C. - Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C. —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Solomon Brothers, Inc.	June 2-3	DC-NY-DC	Y	N	N	N
	Western States Coalition	Aug 27-30	DC-SLC-Boise-SLC-DC	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

THOMAS E. PETRI (Full Name)

N5329 DeNeveu Lane (Mailing Address)

Fond du Lac, Wisc 54935

920-922-1180 Daytime Telephone

HAND DELIVERED (Office Use Only)

(11)

Filer Status	[✓] Member of the U.S. House of Representatives — State WISCONSIN District SIXTH	[ ] Officer or Employee	Employing Office
Report Type	[✓] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [✓] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [✓] No [ ]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [✓] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [✓] No [ ]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [✓] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [✓]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [✓] No [ ]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [✓] No [ ]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [✓]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [✓]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [✓]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Thomas E. Petri

DATE (Month/Day/Year): May 12, 1998

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Name	T. E. PETRI	Page 2 of 11

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	AMERICAN COUNCIL OF TRUSTEES AND ALUMNI (FORMERLY NATIONAL ALUMNI FORUM)	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
INTERNATIONAL DAIRY FOODS ASSOCIATION	SPEECH	JANUARY 15, 1997	$1,000
THE BROOKINGS INSTITUTION	SPEECH	MARCH 5, 1997	$400
DESIGN PROFESSIONALS COALITION	SPEECH	MARCH 17, 1997	$2,000
NATIONAL TECHNICAL SERVICES ASSOCIATION	SPEECH*	JUNE 12, 1997	$250
COOPERSTOWN CONFERENCE	SPEECH	JULY 12, 1997	$1,000
NATIONAL STONE ASSOCIATION	SPEECH	JULY 14, 1997	$1,000
ST. JOHN'S UNIVERSITY	SPEECH	JULY 14, 1997	$1,000

This page may be copied if more space is required. * DUE TO CONFLICT A STAFFER DELIVERED REMARKS

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP/DC/JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXEMPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: Rent, Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X																		P
DC	Examples: Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	WISCONSIN RETIREMENT ACT					X								X		X	X				NA											
	STRONG TOTAL RETURN FUND					X								X		X	X				NA											P
	STRONG GROWTH FUND			X										X		X	X				NA											P
	JANUS WORLDWIDE FUND					X								X		X	X				NA											P
	JANUS FUND					X								X		X	X				NA											P
	A I M GROWTH FUND			X										X		X	X				NA											P

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name T. E. PETRI

Page 5 of 11

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	FIRSTAR CORP., STOCK									X				X													X					P, S
	AMERICAN HOME PRODUCTS, STOCK				X									X									X									
	AMERICAN EXPRESS, STOCK					X								X									X									
	WALGREEN CO., STOCK									X				X												X						S
	BANAG CO., STOCK						X							X										X								P
	ASSOCIATED BANCORP, STOCK			X										X								X										P
	DOLE CO., STOCK				X									X									X									
	QUANSOX'S SHIPHOLDING CORP, STOCK					X								X										X								
	CASTLE & COOKE, STOCK			X																	X											
	MARSHALL & ILSLEY BK., STOCK								X					X											X							
	NORTHWEST MUTUAL LIFE INS.				X									X										X								
	BERKSHIRE HATHAWAY, STOCK							X													X											P
	UAL CORP., STOCK				X																X											
	LLOYD'S OF LONDON							X								X	X											X				P, S
	MERRILL LYNCH CASH MGT. FUND					X										X							X									
	FIRSTAR TRUSTS, CASH		X													X						X										
	PORTICO U.S. TREASURY FUND					X										X								X								
	U.S. TREASURY BONDS & NOTES					X										X									X							
	A.T. & T. CORP., STOCK				X									X									X									
	AMERITECH COMMUNICATIONS, STOCK			X																	X											
	AMERICAN ELECTRIC POWER, STOCK				X																			X								
	AMERITECH CORP. STOCK				X									X										X								

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name T. E. Petri

Block A Asset and/or Income Source	Block B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	Block D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E Transaction
Bell Atlantic Corp Stock				X																		X									
Bell South Corp. Stock				X																		X									
Giddings & Lewis, Inc. Stock	X																														SEE
Nynex Corp. Stock	X												X								X										
Pacific Telesis, Stock																						X									
SBC Communications, Stock				X									X									X									
U.S. West Communications Stock			X										X								X										
Lucent Tech. Stock			X										X								X										
NCR Corp. Stock		X																		X											E
U.S. West, Inc. Mod Gold			X																	X											
Equitas, Trust				X																X											

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SCHEDULE IV — TRANSACTIONS

Name T. E. PETRI

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
	STRONG TOTAL RETURN FUND	X			IRA DIVIDEND REINVESTMENT	X									
	STRONG GROWTH FUND	X			"										
	JANUS WORLDWIDE FUND	X			"	X									
	JANUS FUND	X			"	X									
	A.I.M. GROWTH FUND	X			401K PAYROLL WITHHOLDING	X MONTHLY									
	FIRSTAR CORP., STOCK		X		1/21/97			X							
	FIRSTAR CORP., STOCK		X		3/11/97		X								
	WALGREEN CO., STOCK		X		3/11/97		X								
	FIRSTAR CORP, STOCK		X		6/16/97		X								
	WALGREEN CO., STOCK		X		6/16/97			X							
	FIRSTAR CORP., STOCK		X		9/15/97				X						
	FIRSTAR CORP., STOCK		X		12/1/97			X							
	WALGREEN CO., STOCK		X		12/1/97		X								
	LLOYD'S OF LONDON		X		VARIOUS	X									
	LLOYD'S OF LONDON	X			VARIOUS		X								
	FIRSTAR CORP, STOCK	X			2/18/97	X									

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SCHEDULE IV — TRANSACTIONS

Name T. E. PETRI

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	FIRSTAR CORP., STOCK	X			5/15/97	X									
	FIRSTAR CORP., STOCK	X			8/15/97	X									
	FIRSTAR CORP., STOCK	X			11/17/97	X									
	GOODINGS & LOWIS CORP., STOCK		X		8/4/97	X									
	BERKSHIRE HATHAWAY CORP., STOCK	X			1/29/97		X								
	NCR CORP.			X	1/14/97										
	PACIFIC TELESIS, STOCK			X	6/30/97		X								
	NYNEX CORP., STOCK			X	8/21/97	X									

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Name T. E. PETRI | Page 9 of 11

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	MERRILL LYNCH	LOAN SECURED BY STOCK					X					

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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Name T. E. PETRI | Page 10 of 11

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
INT'L DAIRY FOODS ASSN.	JAN 17-18	WASH. D.C. - FT. LAUDERDALE - WASH. D.C. (I PAID TRAVEL)	Y	Y	N	N
ASPEN INST.	MARCH 7-9	WASH. D.C. - HERSHEY, PENN. - D.C.	Y	Y	Y	TRAVEL TIME
RAILWAY PROGRESS INST.	MARCH 2-3	WASH. D.C. - JACKSONVILLE, FLA. - SEATTLE, WASH.	Y	Y	N	N
DISCOVERY INST. SEATTLE WASH.	MARCH 3-4	—	Y	Y		N
METROPOLITAN TRANSPORTATION COMMISSION	MARCH 4	SEATTLE, WASH - SAN FRANCISCO, CALIF.	N	Y	N	N
JAPAN SOCIETY	MARCH 4-8	SAN FRANCISCO - CALIF. TOKYO, JAPAN - WASHINGTON, D.C.	Y	Y	N	N
IOWA STATE UNIVERSITY & DES MOINES CHAMBER OF COMMERCE	MAY 1-2	WASHINGTON, D.C. - DES MOINES, IOWA - MADISON, WISC.	Y	Y	N	N
EASTERN RAILROAD GENERAL MANAGERS ASSOC.	JULY 12-13	WASHINGTON D.C. - COOPERSTOWN, N.Y. - WASHINGTON, D.C.	Y	Y	N	N
NATIONAL STATE ASSOC.	JULY 13-14	WASHINGTON D.C. - PROVIDENCE, R.I.	Y	Y	N	N
ST. JOHN'S UNIVERSITY	JULY 14	PROVIDENCE, R.I. - NEW YORK, N.Y. - WASHINGTON, D.C.	N	Y	N	N
BROOKINGS INSTITUTION	JULY 25-26	WASHINGTON D.C. - GARRISONVILLE, VA. - WASHINGTON, D.C. (I PAID TRAVEL)	Y	Y	N	N
MICHIGAN TRANSPORTATION COMMISSION	NOV. 14	WASHINGTON D.C. - GRAND RAPIDS, MICH. - WASHINGTON, D.C.	N	Y	N	N
JAPAN SOCIETY	NOV. 15-17	WASHINGTON, D.C. - NEW YORK, N.Y. - WASHINGTON, D.C.	Y	Y	N	N

This page may be copied if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
PARTNER	LLOYDS, UNDERWRITING INSURANCE RISKS, LONDON, ENGLAND
DIRECTOR	SOCIETY INSURANCE, FOND DU LAC, WISCONSIN

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

98 JUN 15 AM 10:00

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Charles W "Chip" Pickering, Jr. (Full Name)
427 Cannon House Office Building / US House of Representatives (Mailing Address)
Washington, DC 20515
Daytime Telephone 202/225-5031

HAND DELIVERED 5
MC (Office Use Only)

Filer Status	☒ Member of the U.S. House of Representatives	State Mississippi District 3rd	☐ Officer or Employee	Employing Office
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL Charles W. "Chip" Pickering Jr. DATE (Month/Day/Year) 6-15-98

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Name Charles W. "Chip" Pickering, Jr. | Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Owner	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Mega Corp. Stock						X							X										X								
DC	Simon & Schuster			Indefinite												X				Royalties									X			P
JT	1st Bank of Paducah, KY accounts						X																			X						
	Laurel Federal S&L, Laurel, MS		X												X							X										
	Washington Mutual Investors Fund		X											X							X											
DC	The First Bancshares, Inc. Hamar County, MS			X										X							X											
	317 4th Street, SE W.D.C.							X							X										X							
	3.3 Acres in Jones County, MS (Section 25, Township 10, Range 11)			X																	X											
	MASONCREEK, Inc. Delaware (Stock)			X										X							X											Gift Given by Relative Helper

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Charles W "Chip" Pickering

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	US Treasury Bill/Burkhalter Bank, Memphis, TN				X											X					X											
SP	C.D. Bank of Bartlett, Memphis, TN				X											X					X											

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Chevy Chase Federal Savings Bank, MD	Mortgage on 317 4th Street, SE WDC				X						
	Wright Patman Congressional Federal Credit Union, WDC	Signature loan	X									
	Wright Patman Congressional Federal Credit Union WDC Visa	Revolving Charge Account	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	The Heritage Foundation (New Members Orientation	Jan 9-11	Wash., D.C. - Chantilly, VA - Wash., D.C.	Y	Y	N	N
	Pew Charitable Trusts/The Aspen Institute (Bipartisan Congressional Retreat)	Mar 7-9	Wash., D.C. - Hershey, PA - Wash., D.C.	Y	Y	Y	N
	Metro Jackson Chamber of Commerce	Aug 12-13	Jackson, MS. to Baltimore, MD. to Jackson, MS.	Y	Y	Y	N

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

OWEN BRADFORD PICKETT
(Full Name)

2430 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone (202) 225-4215

Filer Status [X] Member of the U.S. House of Representatives — State VA District 02 — [ ] Officer or Employee — Employing Office

Report Type [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A $200 penalty shall be assesse against anyone who files more t 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [X] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL Owen B Pickett

DATE (Month/Day/Year) May 14, 1998

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SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see Instructions, pages 13-14.

Source		Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C	Speech	Feb. 2, 1994	$2,000
	XYZ Magazine	Article	Aug. 13, 1994	$500
Armed Forces	Marketing Council	Speech	Mar. 6, 1997	$ 1,000

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source**	BLOCK B **Value of Asset**	BLOCK C **Type of Income**	BLOCK D **Amount of Income**	BLOCK E **Transactio**
Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20.	at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block.	For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	Indicate if asset wa purchased(P), sold or exchanged(E) in reporting year
SP DC *Examples* SP Mega Corp. Stock JT 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
Beverly Enterprises - Mortgage Receivable	$250,001 - $500,000	Interest & Capital Gains	$15,001 - $50,000	
Cranston Lane Assocs. (Business. Ownership, rental, improvement & sale of real estte, Va. Beach, VA)	$250,001 - $500,000	Rent & Interest	$15,001 - $50,000	
Lynnhaven Station Co. (Business. Ownership & rental of commercial offices, Va. Beach, VA)	$500,001 - $1,000,000	Rent & Interest	$5,001 - $15,000	
Sherwood Crossing Assocs. (Business. Apartment construction & rentl, Richmond, VA)	$15,001 - $50,000	Rent & Interest	$1,001 - $2,500	
Toll South Assocs. (Business. Ownership, rentl improvement & sale of real estte, Va. Beach, VA)	$250,001 - $500,000	Rent	$15,001 - $50,000	
Caroline County, VA Farms (327 acres plus 328 acres half-interest) 725 acres transferred to Amber Farm LP	$500,001 - $1,000,000	Rent	$5,001 - $15,000	E

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Magnolia Meadows Assocs. (Business Ownership, rental improvement & sale of real estate Va. Beach VA)	$250,001 - $500,000	Rent & Interest	$15,001 - $50,000	
	Acreage Hanover Co. VA (1/2 int. in 26 acres)	$250,001 - $500,000		None - $200	
	Sylakama, Inc. (Business Ownership, renta., impfovement & sale of real estate Va. Beach, VA)	$250,001 - $500,000	Rent Interest & Capital Gains	$15,001 - $50,000	
	Amber Farm Corporation [Formerly OWSYB Family Corp.] [Business Ownership, rental improvement & sale of real estate, Va. Beach VA]	$1,001 - $15,000	Rent & Interest	$2,501 - $5,000	
	Amber Farm Limited Partnership [Formerly OWSYB Family Limited Partneship]	$500,001 - $1,000,000	Rent & Interest	$5,001 - $15,000	
	Princess Anne Bank CD	$250,001 - $500,000	Interest	$15,001 - $50,000	
	VA Retirement System	$1,001 - $15,000	Dividends	$1,001 - $2,500	
SP	Cenit Bancorp inc	$100,001 - $250,000	Dividends	$2,501 - $5,000	
SP	Nationwide Health Properties	$250,001 - $500,000	Dividends	$15,001 - $50,000	
SP	Capitol One Financial Corp	$15,001 - $50,000	Dividends	$1,001 - $2,500	
SP	Chase Manhattan Corp	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	Mid-America Realty	$1,001 - $15,000	Dividends	$201 - $1,000	
SP	First Union Corp [Merged with Signet Banking]	$50,001 - $100,000	Dividends	$1,001 - $2,500	
SP	Ford Motor Co	None - $1,000	Dividends	$201 - $1,000	S
SP	HRE PPTYS	$1,001 - $15,000	Dividends	$201 - $1,000	
SP	IRT PPTY Co (Georgia)	$15,001 - $50,000	Dividends	$1,001 - $2,500	
SP	MGI Properties	$15,001 - $50,000	Dividends	$1,001 - $2,500	
SP	Money Market - First Union	$15,001 - $50,000	Interest	$1,001 - $2,500	
SP	AT&T	$15,001 - $50,000	Dividends	$201 - $1,000	P
SP	BB&T [Formerly Southern National Corp]	$1,001 - $15,000	Dividends	$201 - $1,000	P
SP	IRA - Paine Webber Acct				
	BRE Properties	$1,001 - $15,000	Dividends	$201 - $1,000	

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Ethyl Corp	$1,001 - $15,000	Dividends	None - $200	
General Electric	$15,001 - $50,000	Dividends	$201 - $1,000	
HRE Properties	$1,001 - $15,000	Dividends	$201 - $1,000	
IRT Property Co	$1,001 - $15,000	Dividends	$201 - $1,000	
MGI Properties	$1,001 - $15,000	Dividends	None - $200	
Nationwide Health PPTY Inc	$50,001 - $100,000	Dividends	$2,501 - $5,000	
Mid-America Realty	$1,001 - $15,000	Dividends	$201 - $1,000	
Paine Webber CashFund	$1,001 - $15,000	Dividends	None - $200	
AT&T	$15,001 - $50,000	Dividends	$201 - $1,000	P
IRA (Self) - Paine Webber Acct				
BRE Properties	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Capital One Financial Corp	None - $1,000	Dividends	$1,001 - $2,500	S
Chase Manhattan Corp New	$50,001 - $100,000	Dividends	$1,001 - $2,500	
EastGroup Properties SBI	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Ethyl Corp	$1,001 - $15,000	Dividends	$201 - $1,000	
Federal Rlty Inv TR	$15,001 - $50,000	Dividends	$1,001 - $2,500	
First Union Corp (Merged with Signet Banking)	$100,001 - $250,000	Dividends	$2,501 - $5,000	
Georgia Pacific Corp	$1,001 - $15,000	Dividends	$201 - $1,000	
HRE PPTYS	$15,001 - $50,000	Dividends	$1,001 - $2,500	
IRT Property Co	$15,001 - $50,000	Dividends	$2,501 - $5,000	
Loral Space & Communications Lmt	$1,001 - $15,000	Dividends	None - $200	
LSI Logic Corp	$1,001 - $15,000	Dividends	None - $200	
Mark Centers Trust SBI	$1,001 - $15,000	Dividends	$1,001 - $2,500	
Mid-America Realty	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Nationwide Health PPTY	$50,001 - $100,000	Dividends	$5,001 - $15,000	

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	RMA Gov't Portfolio (Cash/MM)	$50,001 - $100,000	Dividends	$1,001 - $2,500	
	MGI Properties	$15,001 - $50,000	Dividends	$1,001 - $2,500	
	AT&T	$15,001 - $50,000	Dividends	$201 - $1,000	P
	Stone Container Corp	None - $1,000	Dividends	$201 - $1,000	S
	Georgia Pacific Timber Group	$1,001 - $15,000	Dividends	None - $200	P
	Cabletron Sys	$1,001 - $15,000	Dividends	None - $200	P

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	Ford Motor Co	Sold	08/07/97	$1,001 - $15,000
SP	AT&T	Purchase	04/28/97	$15,001 - $50,000
SP	BB&T (Formerly Southern National Corp)	Purchase	04/20/97	$1,001 - $15,000
SP	IRA - Paine Webber Account			
	AT&T	Purchase	04/25/97	$15,001 - $50,000
	IRA - Paine Webber Account			
	Capital One Financial Corp	Sold	11/19/97	$50,001 - $100,000
	AT&T	Purchase	04/23/97	$15,001 - $50,000
	Stone Continer Corp	Sold	08/15/97	$1,001 - $15,000
	Georgia Pacific Timber Group	Purchase	12/18/97	$1,001 - $15,000
	Cabletron Sys	Purchase	12/15/97	$1,001 - $15,000
JT	Amber Farm Limited Partnership (formerly OWSYB Family Limited Partnership) - 725 acres transferred from Caroline County, VA Farms in exchange for Limited Partnership units	Exchange	12/19/97	$500,001 - $1,000,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liab
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.	$100,001 - $250,000
	E.D. & C.D. Proffitt	Farm Mortgage - Caroline Co.	$50,001 - $100,000
	M/M Plotkin	Farm Mortgage - Caroline Co.	$100,001 - $250,000

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SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not sponsor's exp
Examples: Chicago Chamber of Commerce Mega Corporation	Mar 2 Aug 6-13	Wash., D.C.-Chicago-Wash., D.C. Wash., D.C.-Los Angeles-Cleveland	N Y	N Y	N Y	N 4 Days
Congressional Study Group on Germany	Mar 22-28	DC-Berlin, Bad Muenstereifel, Frankfurt Germany-DC	Y	Y	N	No

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Officer & Director	Sylakama, Inc
Partner	Lynnhaven Station Co
Partner	Toll South Assoc
Partner	Cranston Lane Assoc
Partner	Magnolia Meadows Assoc
Partner	Sherwood Crossing Assoc., LP
Officer & Director	Amber Farm Corporation [Formerly OWSYB Family Corp]
Partner	Amber Farm Limited Partnership [Formerly OWSYB Family Limited Partnership]

INSIDE MAIL

OWEN PICKETT
VIRGINIA
2ND DISTRICT

COMMITTEE ON NATIONAL SECURITY
SUBCOMMITTEE ON RESEARCH & DEVELOPMENT
RANKING MEMBER
SUBCOMMITTEE ON MILITARY READINESS
SUBCOMMITTEE ON MILITARY PERSONNEL
PANEL ON MORALE, WELFARE AND RECREATION

COMMITTEE ON RESOURCES
SUBCOMMITTEE ON WATER AND POWER

HOUSE OF REPRESENTATIVES
OF THE UNITED STATES
WASHINGTON, D.C. 20515

2430 RAYBURN BUILDING
WASHINGTON, D.C. 20515
(202) 225-4215
E-MAIL: OWEN.PICKETT@MAIL.HOUSE.GOV

DISTRICT OFFICES:
3841 EAST LITTLE CREEK ROAD
SUITE L
NORFOLK, VIRGINIA 23518
(757) 583-5892

2710 VIRGINIA BEACH BOULEVARD
VIRGINIA BEACH, VIRGINIA 23452
(757) 486-3710

December 31, 1997

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OFFICE OF THE
CLERK
U.S. HOUSE OF REPRESENTATIVES

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✓
MC

The Honorable Robin H. Carle
Clerk of the House
House of Representatives
Washington, D.C. 20515

Dear Ms. Carle:

I request that the Financial Disclosure Statement filed by me for calender year 1996 be amended to include the following:

Schedule III - Assets and Unearned Income

Block A	Block B	Block C	Block D	Block E
OWSYB Family Corp. Virginia Beach, VA	$1001-$15,000	Interest	$100-$500	P
OWSYB Family Limited Partnership Virginia Beach, VA	$1001-$15,000	Interest	$100-$500	P

Schedule IV - Transactions

Asset	Type of Transaction	Date	Amount of Transaction
OWSYB Family Corp. Common Stock	Purchase	2-9-96	$1001-$15,000
OWSYB Family Limited Partnership - Limited Partnership Interests	Purchase	2-9-96	$1001-$15,000

Schedule VIII

Position	Organization
Officer and Director	OWSYB Family Corporation
Partner	OWSYB Family Limited Partnership

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Sincerely yours,

Owen Pickett

Owen Pickett

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

JOSEPH RUSSELL PITTS
(Full Name)

905 MITCHELL FARM LANE
(Mailing Address)

KENNETT SQUARE, PA 19348

Daytime Telephone (610) 444-4581

HAND DELIVERED (5)

HC (Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State: PA District: 16th	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X] No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Joseph R. Pitts

DATE (Month/Day/Year): May 14, 1998

2977

Name JOSEPH RUSSELL PITTS	Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	COMMONWEALTH OF PENNSYLVANIA (Not Subject To Outside Earned Income Limit)	Legislative Pension	$89,287

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JOSEPH RUSSELL PITTS

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A: Asset and/or Income Source		Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; E $15,001 – $50,000; F $50,001 – $100,000; G $100,001 – $250,000; H $250,001 – $500,000; I $500,001 – $1,000,000; J $1,000,001 – $5,000,000; K $5,000,001 – $25,000,000; L $25,000,001 – $50,000,000; Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP. DC. JT — Examples: SP Mega Corp. Stock		X	X		P
Simon & Schuster		Indefinite	Royalties	X	
1st Bank of Paducah, KY accounts		X	X	X	
Peoples Bank of Oxford		X	X	X	
Miracle Grow Invest Club		X	X X	X	
Comm of PA Deferred Comp (Admin by Coseland Companies)		X	N/A	N/A	
IRA (Rolled from PA Ret.Sys.) Admin by Putnam Investments		X	N/A	N/A	

For additional assets and unearned income, use next page.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
American Israel Education Foundation	Aug 10-17	Philadelphia-Israel-Phila.	Y	Y	Y	N
Aspen Institute	Mar 7- 9	Kennett Square-Hershey-Ken SQ	N	Y	Y	N
Heritage Foundation/Empower America	Jan 9-11	Wash DC-Chantilly,VA-Wash DC	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	County Corrections Gospel Mission
Director	Eastern College Advisory Board
Director	Keystone State Games
Director	Greystone Society
Director	Crosslinks
Director	Congressional Youth Leadership Council
Director	International Health Services Board

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 48-260 (mod)

Use additional sheets if more space is required.

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

Richard William Pombo
(Full Name)

1519 Longworth H.O.B.
Washington, D.C. 20515
(Mailing Address)

(202)225-1947
Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State CA District 11 — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Richard Pombo

DATE (Month/Day/Year): 5/14/98

2982

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP/DC/JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: Royalty, Partnership, Income from Farm, Income)	Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction (P, S, or E)
SP	Mega Corp. Stock					X								X										X					X			P
DC	Examples: Simon & Schuster			Indefinite																Royalties												
JT	1st Bank of Paducah KY Accounts						X									X										X						
	Westside Bank-Stock	X												X									X									S
	R. Pombo Ranch II						X								Partnership									X								

For additional assets and unearned income, use next page

SCHEDULE IV — TRANSACTIONS

Name Richard W. Pombo

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
JT	Westside Bank/U.S. Bancorp Common Stock		X		2-25-97		X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
JT	Congressional Federal Credit Union	Revolving Charge	x									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	Richard W. Pombo	Page 5 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C. Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Oregonians	3/29-3/29	Oakland-Portland-Oakland	N	N	N	N
	ConAgra	4/18-4/18	Wash.,D.C.-Greely, CO-Wash., DC	N	Y	N	N
	Hispanic Republican Conference	4/25-4/27	Wash.,D.C.-Puerto Rico Wash., D.C.	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Partner	R. Pombo Ranch II

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

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HOUSE OF REPRESENTATIVES

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(4)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Congressman Earl Pomeroy
(Full Name)

1533 Longworth House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone
202-225-2611

Filer Status					
	[X] Member of the U.S. House of Representatives	State ND District 00	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g. salaries or fees) of $200 or more from any source in the reporting period?
If yes, complete and attach Schedule I — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?
If yes, complete and attach Schedule II — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period?
If yes, complete and attach Schedule III — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period?
If yes, complete and attach Schedule IV. — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period?
If yes, complete and attach Schedule V — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)?
If yes, complete and attach Schedule VI. — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)?
If yes, complete and attach Schedule VII. — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year?
If yes, complete and attach Schedule VIII — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity?
If yes, complete and attach Schedule IX. — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: E. Pomeroy

DATE (Month/Day/Year): 5/14/98

2988

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC *Examples* SP JT	Mega Corp Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Guarantee Mutual Life Company	$1,001 - $15,000	Interest	$1 - $200	
SP	Bank Center First (savings)	$1,001 - $15,000	Interest	$201 - $1,000	
SP	American Express Financial Services (mutual fund)	$1,001 - $15,000	Interest	$201 - $1,000	
SP	First American Funds (mutual fund)	$1,001 - $15,000	Dividends	$1,001 - $2,500	
SP	American Express Financial Services* 106-3994-214-2 (IRA)	$1,001 - $15,000	N/A	N/A	
SP	American Express* 128-3994-214-6 (IRA)	$15,001 - $50,000	N/A	N/A	

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	American Express Financial Services* 124-3994-214-0 (IRA)	$1,001 - $15,000	N/A	N/A	
SP	457 Deferred Compensation Plan* 201-3385-4704-9-002	$1,001 - $15,000	N/A	N/A	
SP	457 Deferred Compensation Plan* 122-6385-4704-4-002	$15,001 - $50,000	N/A	N/A	
SP	457 Deferred Compensation Plan* 173-2385-4704-1-002	$1,001 - $15,000	N/A	N/A	
	American Express Financial Services* 137-3994-214-5 (IRA)	$1,001 - $15,000	N/A	N/A	
	American Express Financial Services* 137-4242-062-6 (IRA)	$1,001 - $15,000	N/A	N/A	
	American Express Financial Services* 136-3994-214-6 (IRA)	$15,001 - $50,000	N/A	N/A	
	American Express Financial Services* 138-3994-214-4 (IRA)	$1,001 - $15,000	N/A	N/A	
	457 Deferred Compensation Plan* 112-6385-4704-5-002	$15,001 - $50,000	N/A	N/A	
	457 Deferred Compensation Plan* 163-2385-4704-2-002	$15,001 - $50,000	N/A	N/A	
	Public Employees Retirement System*	$15,001 - $50,000	N/A	N/A	
SP	Public Employees Retirement System*	$15,001 - $50,000	N/A	N/A	

Investments held through American Express Financial Services (IDS), Minneapolis, MN 55440

* Invested with institution; individual has no discretion regarding purchases or sales of assets in accounts.

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary (dates) and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago, Wash., D.C.	N	N	N	N
: Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
National Council of Farmer Cooperatives	January 13-17, 1997	Washington, DC - San Diego, CA - Washington, DC	Y	Y	N	N
College & University Personnel Association	February 18-19, 1997	Grand Forks, ND - Washington, DC - Bismarck, ND	N	N	N	N
Aspen Institute	March 7-9, 1997	Washington, DC - Hershey, PA - Washington, DC	Y	Y	Y	N
RehaStar Financial Corporation	April 13-14, 1997	Washington, DC - Phoenix, AZ - Washington, DC	Y	Y	N	N
ASIA (Adoption Service Information Agency)	June 18-23, 1997	Washington, DC-Seoul, Korea-Washington, DC	Y	Y	N	N

COMMITTEES
AGRICULTURE
BUDGET

HAND DELIVERED

WASHINGTON OFFICE
1533 LONGWORTH BUILDING
WASHINGTON, DC 20515
(202) 225-2611
REP.EARL.POMEROY@MAIL.HOUSE.GOV
DISTRICT OFFICES
ROOM 376, FEDERAL BUILDING
220 EAST ROSSER AVENUE
BISMARCK, ND 58501
(701) 224-0355
ROOM 266, FEDERAL BUILDING
657 SECOND AVENUE NORTH
FARGO, ND 58102
(701) 235-9760

Earl Pomeroy
Congress of the United States
North Dakota

RECEIVED
99 JUN 12 AM 10:17

June 11, 1998

The Honorable Robin Carle
U.S. House of Representatives
Office of the Clerk
B-106 Cannon House Office Building
Washigton, DC 20515

7

MC

Dear Ms. Carle

Attached please find an addendum to the Financial Disclosure report for 1997 I filed in May of this year. I am amending my earlier filing in order to clarify two items reported on Schedule III

(1) The fourth entry on Schedule III indicates a First American mutual fund held by my spouse. This entry represents a new purchase in 1997 and as such, has also been reported on the attached Schedule IV for transactions.

(2) The holding organization, American Express Financial Services, listed on Schedule III was called Investor Diversified Services (IDS) in 1996. The company has since changed names

Thank you for your consideration of the attached addendum.

Sincerely,

EARL POMEROY
Member of Congress

Enc.

PRINTED ON RECYCLED PAPER

RECEIVED

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HAND DELIVERED

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Congressman Earl Pomeroy
(Full Name)

1533 Longworth House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone
202-225-2611

Filer Status					
	[X] Member of the U.S. House of Representatives	State ND District 00	[ ] Officer or Employee	Employing Office	
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination	Termination Date	

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See instructions, pages 10-11.) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Earl Pomeroy

DATE (Month/Day/Year): 6/11/98

2993

Name Congressman Earl Pomeroy | Page of

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP DC JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	First American Funds (mutual funds)	Purchase	11/17/97	$1,001 - $15,000

2994

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Congressman Earl Pomeroy
(Full Name)

1533 Longworth House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone
202-225-2611

(Office Use Only)

Filer Status	[X] Member of the U S House of Representatives	State ND District 00	[ ] Officer or Employee	Employing Office	A $200 penalty shall be assessed against anyone who files more than 30 days late.
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

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II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [ ] No [X]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10 000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [ ] No [X]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

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VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [ ] No [X]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

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SIGNATURE OF REPORTING INDIVIDUAL

E Pomeroy

DATE (Month/Day/Year)

5/14/98

2995

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20.	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC JT	*Examples* SP Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Guarantee Mutual Life Company	$1,001 - $15,000	Interest	$1 - $200	
SP	Bank Center First (savings)	$1,001 - $15,000	Interest	$201 - $1,000	
SP	American Express Financial Services (mutual fund)	$1,001 - $15,000	Interest	$201 - $1,000	
SP	First American Funds (mutual fund)	$1,001 - $15,000	Dividends	$1,001 - $2,500	
SP	American Express Financial Services* 106-3994-214-2 (IRA)	$1,001 - $15,000	N/A	N/A	
SP	American Express* 128-3994-214-6 (IRA)	$15,001 - $50,000	N/A	N/A	

2996

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	American Express Financial Services* 124-3994-214-0 (IRA)	$1,001 - $15,000	N/A	N/A	
SP	457 Deferred Compensation Plan* 201-3385-4704-9-002	$1,001 - $15,000	N/A	N/A	
SP	457 Deferred Compensation Plan* 122-6385-4704-4-002	$15,001 - $50,000	N/A	N/A	
SP	457 Deferred Compensation Plan* 173-2385-4704-1-002	$1,001 - $15,000	N/A	N/A	
	American Express Financial Services* 137-3994-214-5 (IRA)	$1,001 - $15,000	N/A	N/A	
	American Express Financial Services* 137-4242-062-6 (IRA)	$1,001 - $15,000	N/A	N/A	
	American Express Financial Services* 136-3994-214-6 (IRA)	$15,001 - $50,000	N/A	N/A	
	American Express Financial Services* 138-3994-214-4 (IRA)	$1,001 - $15,000	N/A	N/A	
	457 Deferred Compensation Plan* 112-6385-4704-5-002	$15,001 - $50,000	N/A	N/A	
	457 Deferred Compensation Plan* 163-2385-4704-2-002	$15,001 - $50,000	N/A	N/A	
	Public Employees Retirement System*	$15,001 - $50,000	N/A	N/A	
SP	Public Employees Retirement System*	$15,001 - $50,000	N/A	N/A	

Investments held through American Express Financial Services (IDS), Minneapolis, MN 55440

* Invested with institution; individual has no discretion regarding purchases or sales of assets in accounts.

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce Mega Corporation	Mar 2 Aug 6-13	Wash. D.C.-Chicago-Wash., D.C. Wash., D.C.-Los Angeles-Cleveland	N Y	N Y	N Y	N 4 Days
National Council of Farmer Cooperatives	January 13-17, 1997	Washington, DC - San Diego, CA - Washington, DC	Y	Y	N	N
College & University Personnel Association	February 18-19, 1997	Grand Forks, ND - Washington, DC - Bismarck, ND	N	N	N	N
Aspen Institute	March 7-9, 1997	Washington, DC - Hershey, PA - Washington, DC	Y	Y	Y	N
ReliaStar Financial Corporation	April 13-14, 1997	Washington, DC - Phoenix, AZ - Washington, DC	Y	Y	N	N
ASIA (Adoption Service Information Agency)	June 18-23, 1997	Washington, DC-Seoul Korea-Washington, DC	Y	Y	N	N

98 MAY 15 PM 2:27

UNITED STATES HOUSE OF REPRESENTATIVES

FORM A

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

For use by Members, officers, and employees

JOHN EDWARD PORTER
(Full Name)
1625 SHERIDAN ROAD
(Mailing Address)
WILMETTE, IL 60091
847-940-0202
(Daytime Telephone)

HAND DELIVERED (9)

MC (Office Use Only)

Filer Status: [X] Member of the U.S. House of Representatives — State / District; [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15); [ ] Amendment; [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

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SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5/15/98

2999

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6 000
	State of Maryland	Legislative Pension	$9 000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	(5) THE HUMAN RIGHTS ALLIANCE, FDN	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

3000

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S) or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: None	A: $1 – $1,000	B: $1,001 – $15,000	C: $15,001 – $50,000	E: $50,001 – $100,000	F: $100,001 – $250,000	G: $250,001 – $500,000	H: $500,001 – $1,000,000	I: $1,000,001 – $5,000,000	J: $5,000,001 – $25,000,000	K: $25,000,001 – $50,000,000	L: Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	Block D: None	I: $1 – $200	II: $201 – $1,000	III: $1,001 – $2,500	IV: $2,501 – $5,000	V: $5,001 – $15,000	VI: $15,001 – $50,000	VII: $50,001 – $100,000	VIII: $100,001 – $1,000,000	IX: $1,000,001 – $5,000,000	X: Over $5,000,000	XI	Block E: P, S, E
SP																																	
DC	Examples: SP Mega Corp. Stock					X								X																			P
	Simon & Schuster			Indefinite																Royalties													
JT	1st Bank of Paducah KY accounts						X									X										X							
	CONG FED CREDIT UNION IND. RETIREMENT ACT			X												X							X										
	FRANKLIN US GOVT SEC FUND IND. RET. ACCT			X												X							X										
5	FIRST MIDWEST BANK, DEERFIELD IL, I.R.A.			X												X							X										
5	FRANKLIN U.S. GOVT SEC FUND, IND. RET. ACCT			X												X							X										
3	CONG FED CREDIT UNION IND. RET. ACCT			X												X							X										
	IND. 1/2 INT. IN UNDEVELOPED LOT, JERAUTIAN HIGHLANDS, FLA				X																												

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN EDWARD PORTER

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
JT	AT&T CORP. STOCK (COMMON)				X									X									X									
JT	BELL ATLANTIC CORP STOCK (NEW CLASS A)			X										X									X									
JT	BRISTOL-MYERS SQUIBB CO STOCK (COMMON)				X									X									X									
JT	CENTURY TELEPHONE ENTERPRISES STOCK (COMMON)			X										X								X										
JT	CITICORP STOCK (COMMON)				X									X									X									
JT	COMPUTER ASSOC. INTL. INC. STOCK (COMMON)				X									X								X										
JT	EL PASO NATURAL GAS CO STOCK (NEW)		X											X								X										
JT	EXXON CORP STOCK (COMMON)				X									X										X								
JT	FIRST FIDELITY AMERICA BANK CORP STOCK (COMMON)				X									X									X									
JT	OLSTEN CORP STOCK (COMMON)			X										X								X										
JT	SEARS, ROEBUCK & CO STOCK (COMMON)			X										X									X									
JT	TEMPERED, INC. STOCK (NEW)			X										X								X										
JT	TOSCO CORP STOCK (COMMON)				X																											
JT	FRANKLIN US GOV SECS FUND - CLASS I					X								X												X						
JT	FORD MOTOR CREDIT MED TERM NOTE 6.80% 9-15-99			X												X							X									
JT	GEN. MOTORS ACCEPT CORP TRS 8-1-00 BOND			X												X							X									
JT	SEARS CORP NOTE 8.45% 4-1-98			X												X							X									
JT	KOHLBERG KRAVIS & CO, EHAN STOCK, LL (COMM ACCT)															X							X									
	NEW YORK LIFE IND. CO. LIFE INS. POLICY	X																		DISTRIBUTION			X									
JT	US ROBOTICS STOCK (COMMON)																X								X							
JT	MONSANTO CORP. STOCK (CLASS A)																X						X									
JT	MONSANTO CORP STOCK (NEW CLASS A) CW STOCK																X					X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN EDWARD PORTER

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
JT	RADIANT, INC. STOCK (COMMON)																X										X					
JT	RADIANT NEW CHINA STOCK (COMMON)																X					X										

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Name JOHN EDWARD PORTER | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10 12 97		X								
JT	US ROBOTICS STOCK (COMMON)		X		05-09-97		X								
JT	AMPHENOL CORP STOCK (CLASS A)		X		05-21-97	X									
JT	AMPHENOL CORP STOCK (NEW CLASS A) CIL STOCK		X		06-04-97	X									
JT	TERADYNE, INC. STOCK (COMMON)		X		09-12-97		X								
JT	TERADYNE, INC. STOCK (COMMON)		X		07-21-97	X									
JT	NEWPORT NEWS SHIPBUILDING STOCK (COMMON)		X		03-04-97	X									
JT	COMPUTER ASSOCIATES INT'L, INC STOCK (COMMON)	X			05-09-97		X								
JT	U.S. ROBOTICS CORP. STOCK (COMMON)			X	06-01-97		X								
JT	3 COM CORP STOCK (COMMON)			X	06-01-97		X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
JT	CONN. FED. CREDIT UNION	LINE OF CREDIT	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

3005

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	ACADEMY OF OTOLARYNGOLOGISTS	FEB 2-FEB 4	WASHINGTON D.C.—ST PETERSBURG, FL—WASH, D.C.	Y	Y	Y	N
	THE ASPEN INSTITUTE	FEB 14-FEB 17	WASH, D.C.—MANALAPAN, FL—WASH, D.C.	Y	Y	Y	Y
	PANEPIRATIC FED. OF AMERICA, CANADA & AUSTALIA	FEB 20-FEB 23	WASH, D.C.—CLEARWATER, FL—WASH, D.C.	Y	Y	Y	N
	TUFTS UNIVERSITY	MAR 10	WASH, D.C.—BOSTON, MA—WASH, D.C.	N	Y	N	N
	AMERICAN MEDICAL ASSOCIATION	MAR 16-MAR 17	WASH, D.C.—PHILADELPHIA, PA—WASH, D.C.	Y	Y	N	N
	THE ASPEN INSTITUTE	MAR 31-APR 5	WASH, D.C.—LANAI, HI,—WASH, D.C.	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
BOARD MEMBER	POPULATION RESOURCE CENTER
CO-CHAIRMAN	CONGRESSIONAL HUMAN RIGHTS CAUCUS
CO-CHAIRMAN	CONGRESSIONAL CAUCUS ON ARMENIAN ISSUES
CO-CHAIRMAN	CONGRESSIONAL HONG KONG CAUCUS
PRESIDENT & CHAIRMAN	GENERAL SERVICES CORPORATION
CHAIRMAN	GLOBE USA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mar)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

98 MAY 14 AM 10:41

(Office Use Only) 13

ROBERT I. PORTMAN
(Full Name)

203 MIAMI AVENUE
(Mailing Address)

TERRACE PARK OH 45174

Daytime Telephone 202-225-3164

Filer Status	[X] Member of the U S House of Representatives	State OH District 02	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Robert I. Portman

DATE (Month/Day/Year): May 14, 1998

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SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Richard Saunders, International, Cincinnati, Ohi	Spouse's Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

3009

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20		BLOCK B **Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC JT	*Examples* SP	Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
		NUVEEN MUNICIPAL VALUE FUND	$1,001 - $15,000	Interest	$2,501 - $5,000	S
		ASHWOOD FARMS, INC. SPRINGBORO, OH (WARREN CO)	$1,001 - $15,000	Dividends	None	
		GRADISON U.S. GOV'T RESERVES	$15,001 - $50,000	Dividends	$1,001 - $2,500	
		GOLDEN LAMB TRUST - LAND, BLDG LOCATED IN LEBANON, OH	$50,001 - $100,000	Rent	$15,001 - $50,000	
		LEBANON HOUSE INC - CINCINNATI, OH	$250,001 - $500,000	Dividends	None	

3010

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	GRADISON-MCDONALD OHIO TAX FREE INCOME FUND	$15,001 - $50,000	Interest	$1,001 - $2,500	S
	GRADISON-MCDONALD ESTABLISHED VALUE FUND	$50,001 - $100,000	Dividends	$2,501 - $5,000	P
	GRADISON-MCDONALD OPPORTUNITY VALUE FUND	$15,001 - $50,000	Dividends	$201 - $1,000	
	PORTMAN EQUIPMENT COMPANY - CINCINNATI, OH	$1,191,972	DIVIDEND ISSUED TO PAY TAXES AS SUB S SHAREHOLDER	$50,001 - $100,000	
	PEAVLER PTN. - LAND AND BLDG. - CINCINNATI, OH AND ERLANGER, KY	$250,001 - $500,000	Rent	$50,001 - $100,000	
	ORCHARD STREET PROPERTIES, CINCINNATI, OH	None	Rent	$5,001 - $15,000	S
	MARIEMONT VILLAGE PROPERTIES - LIMITED PARTNERSHIP	$1,001 - $15,000	Rent	$2,501 - $5,000	
	TAIT HOUSE APARTMENTS LTD.- APT BLDG - BRUNSWICK, GEORGIA	None	Rent	$5,001 - $15,000	S
	PROCTOR & GAMBLE CO	$15,001 - $50,000	Dividends	$201 - $1,000	P
	SHAKER PROPERTIES LTD - LAND & BUILDING LEBANON, OHIO	$1 - $1,000	Rent	None	P
	GRAUSTARK, LLC - LAND & BUILDING, GEORGETOWN, KY	$15,001 - $50,000	Rent	$2,501 - $5,000	P
	GRAYDON HEAD & RITCHEY - RETIREMENT PLAN, CINCINNATI, OH	$15,001 - $50,000	NA		
	GRADISON-MCDONALD INTERNATIONAL FUND	$50,001 - $100,000	Dividends	$201 - $1,000	
	ADVANCE HANDLING SYSTEMS, INC - NOTE RECEIVABLE	$15,001 - $50,000	Interest	$1,001 - $2,500	

3011

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	COLONIAL STRATEGIC INCOME FUND	None	Dividends	$1,001 - $2,500	S
SP	VMBF - INTERMEDIATE TERM	$50,001 - $100,000	Dividends	$201 - $1,000	S
SP	ALEX BROWN CASH RESERVE FUND	None	Interest	$201 - $1,000	S
SP	GRADISON -MCDONALD MUNICIPAL CASH SERIES	None	Interest	$1 - $200	S
SP	GRADISON- MCDONALD US GOVERNMENT RESERVES	$1,001 - $15,000	Interest	$201 - $1,000	
SP	IRA, GRADISON-MCDONALD	$15,001 - $50,000	Interest	NA	
SP	NUVEEN FLAGSHIP LTD TERM MUNICIPAL BOND FUND	$15,001 - $50,000	Interest	$1,001 - $2,500	
SP	NUVEEN MUNICIPAL VALUE FUND	$50,001 - $100,000	Dividends	$2,501 - $5,000	
SP	SALEM TRUST BANK MERGED WITH CCB FINANCIAL CORPORATION	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	AMERICAN EXPRESS CO. NONCALL NOTES	$1,001 - $15,000	Interest	$1 - $200	
DC	FLAG INVESTORS EQUITY A FUND	$15,001 - $50,000	Dividends	None	P
DC	FLAG INVESTORS EQUITY A FUND	$1,001 - $15,000	Dividends	$1 - $200	P
DC	PROCTOR & GAMBLE CO	$15,001 - $50,000	Dividends	$201 - $1,000	P
DC	JOSEPH D PORTMAN IRRV TRUST:				
DC	FOUNTAIN SQUARE QUALITY GROWTH FUND	$15,001 - $50,000	Dividends	$2,501 - $5,000	P
DC	FOUNTAIN SQUARE INTERNATIONAL FUND	$1,001 - $15,000	Dividends	$201 - $1,000	P
DC	FOUNTAIN SQUARE MID CAP FUND	$15,001 - $50,000	Dividends	$2,501 - $5,000	P
DC	PROCTOR & GAMBLE CO	$15,001 - $50,000	Dividends	$201 - $1,000	P

3012

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

DC	WILLIAM D PORTMAN IRRV TRUST:				
DC	FOUNTAIN SQUARE QUALITY GROWTH FUND	$15,001 - $50,000	Dividends	$2,501 - $5,000	P
DC	FOUNTAIN SQUARE INTERNATIONAL FUND	$1,001 - $15,000	Dividends	$201 - $1,000	P
DC	FOUNTAIN SQUARE MID CAP FUND	$15,001 - $50,000	Dividends	$2,501 - $5,000	P
DC	FLAG INVESTORS EQUITY A FUND	$1,001 - $15,000	Dividends	$1 - $200	P
DC	SARAH D PORTMAN IRRV TRUST:				
DC	FOUNTAIN SQUARE QUALITY GROWTH FUND	$15,001 - $50,000	Dividends	$1,001 - $2,500	P
DC	FOUNTAIN SQUARE MID CAP FUND	$15,001 - $50,000	Dividends	$1,001 - $2,500	P
DC	FOUNTAIN SQUARE INTERNATIONAL FUND	$1,001 - $15,000	Dividends	$201 - $1,000	P
	GRADISON-MCDONALD GROWTH & INCOME FUND	$50,001 - $100,000	Dividends	$1 - $200	P
	IRA, GRADISON-MCDONALD GOVERNMENT INCOME FUND	$1,001 - $15,000	Dividends	$201 - $1,000	P
	IRA, GRADISON-MCDONALD ESTABLISHED VALUE FUND	$1,001 - $15,000	Dividends	$1 - $200	P
	IRA, GRADISON-MCDONALD GROWTH & INCOME FUND	$1,001 - $15,000	Dividends	$1 - $200	P
	IRA, GRADISON-MCDONALD INTERNATIONAL FUND	$1,001 - $15,000	Dividends	$1 - $200	P
	IRA, GRADISON-MCDONALD GOVERNMENT RESERVES	$1,001 - $15,000	Dividends	$1 - $200	P
SP	COLONIAL SELECT VALUE FUND	$50,001 - $100,000	Dividends	$5,001 - $15,000	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	STATE STREET RESEARCH EQUITY INCOME FUND C	$15,001 - $50,000	Dividends	$1,001 - $2,500	P
SP	TEMPLE FOREIGN SERIES II	$15,001 - $50,000	Dividends	$1,001 - $2,500	P
SP	REAL ESTATE, FT. PIERCE, FL	$1,001 - $15,000	Capital Gains	None	INHERITED

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	PROCTOR & GAMBLE CO	Purchase	QTR DIV REIN	$1,001 - $15,000
	SHAKER PROPERTIES LTD	Purchase	1-1-97	$1,001 - $15,000
	GAUSTARK, LLC	Purchase	1-1-97	$1,001 - $15,000
	IRA, GRADISON-MCDONALD GROWTH & INCOME FUND	Purchase	3-21-97	$1,001 - $15,000
	IRA, GRADISON-MCDONALD INTERNATIONAL FUND	Purchase	3-21-97	$1,001 - $15,000
SP	COLONIAL SELECT VALUE FUND CLASS A	Purchase	5-14-97	$50,001 - $100,000
SP	STATE STREET RESEARCH EQUITY INCOME FUND C	Purchase	1997, MON DIV REIN	$15,001 - $50,000
SP	TEMPLETON FOREIGN SERIES II	Purchase	1997, MON DIV REIN	$15,001 - $50,000
SP	ALEX BROWN CASH RESERVES	Sold	1997	$1,001 - $15,000
	GRADISON MCDONALD OHIO TAX FREE INCOME	Purchase	MON DIV REIN	$1,001 - $15,000
	GRADISON MCDONALD ESTABLISHED VALUE FUND	Purchase	MON DIV REIN	$1,001 - $15,000
	GRADISON MCDONALD OPPORTUNITY VALUE FUND	Purchase	MON DIV REIN	$1,001 - $15,000
	GRADISON MCDONALD INTERNATIONAL FUND	Purchase	MON DIV REIN	$1,001 - $15,000
SP	COLONIAL STRATEGIC INCOME FUND - A	Sold	5-15-97	$50,001 - $100,000
SP	VMBF - INTERMEDIATE TERM	Purchase	MON DIV REIN	$1,001 - $15,000
SP	GRADISON MCDONALD ESTABLISHED VALUE FUND	Purchase	MON DIV REIN	$1,001 - $15,000
SP	GRADISON MCDONALD INTERNATIONAL FUND	Purchase	MON DIV REIN	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	GRADISON MCDONALD MUNICIPAL CASH SERIES	Purchase	MON DIV REIN	$1,001 - $15,000
DC	FLAG INVESTORS EQUITY A FUND	Purchase	1-10-97	$1,001 - $15,000
DC	JOSEPH D PORTMAN IRRV TRUST			
	FOUNTAIN SQUARE QUALITY GROWTH FUND	Purchase	MON DIV REIN	$1,001 - $15,000
	FOUNTAIN SQUARE INTERNATIONAL FUND	Purchase	MON DIV REIN	$1,001 - $15,000
	FOUNTAIN SQUARE MID CAP FUND	Purchase	2-27-97, 9-27-97, MON DIV REIN	$1,001 - $15,000
DC	FLAG INVESTORS EQUITY A FUND	Purchase	1-10-97	$1,001 - $15,000
DC	WILLIAM D PORTMAN IRRV TRUST			
	FOUNTAIN SQUARE QUALITY GROWTH FUND	Purchase	MON DIV REIN	$1,001 - $15,000
	FOUNTAIN SQUARE INTERNATIONAL FUND	Purchase	MON DIV REIN	$1,001 - $15,000
	FOUNTAIN SQUARE MID CAP FUND	Purchase	2-27-97, 9-24-97,MON DIV REIN	$1,001 - $15,000
DC	SARAH D PORTMAN IRRV TRUST			
	FOUNTAIN SQUARE QUALITY GROWTH FUND	Purchase	MON DIV REIN	$1,001 - $15,000
	FOUNTAIN SQUARE MID CAP FUND	Purchase	2-27-97, 9-24-97, MON DIV REIN	$1,001 - $15,000
	FOUNTAIN SQUARE INTERNATIONAL FUND	Purchase	9-24-97, MON DIV REIN	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
DC	PROCTOR & GAMBLE CO.	Purchase	QTR DIV REIN	$1,001 - $15,000
DC	PROCTOR & GAMBLE CO.	Purchase	QTR DIV REIN	$1,001 - $15,000
DC	FLAG INVESTORS EQUITY A FUND	Purchase	1-10-97	$1,001 - $15,000
	IRA, GRADISON-MCDONALD GOVERNMENT INCOME FUND	Purchase	3-27-97	$1,001 - $15,000
	IRA, GRADISON-MCDONALD ESTABLISHED VALUE FUND	Purchase	3-21-97	$1,001 - $15,000
	GRADISON-MCDONALD ESTABLISHED VALUE FUND	Purchase	1997	$15,001 - $50,000
	GRADISON-MCDONALD GROWTH & INCOME FUND	Purchase	1997, MON DIV REIN	$50,001 - $100,000
	GRADISON-MCDONALD TAX-FREE INCOME FUND	Sold	1-30-97	$15,001 - $50,000
	NUVEEN MUNICIPAL VALUE FUND	Sold	1997	$50,001 - $100,000
	TAIT HOUSE APARTMENTS LTD.	Sold	1997	$1,001 - $15,000
	ORCHARD STREET PROPERTIES	Sold	9-5-97	$1,001 - $15,000

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SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization; partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States For further information, see Instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Organization
TRUSTEE	THE SPRINGER SCHOOL
MEMBER	UNITED WAY & COMMUNITY CHEST GOV'T RELATIONS COMMITTEE
PARTNER	PEAVLER PARTNERSHIP
LIMITED PARTNER (DISSOLVED IN 1997)	ORCHARD STREET PROPERTIES
LIMITED PARTNER	MARIEMONT VILLAGE PROPERTIES
LIMITED PARTNER (DISSOLVED IN 1997)	TAIT HOUSE APARTMENTS LTD
DIRECTOR	COMMUNITY ANTI-DRUG COALITION OF AMERICA (CADCA)
DIRECTOR & PRESIDENT	COALITION FOR A DRUG FREE GREATER CINCINNATI
GENERAL PARTNER	SHAKER PROPERTIES, LTD
GENERAL PARTNER	GAUSTARK LLC

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer For further information, see instructions, pages 26-27.

Date	Parties To	Terms of Agreement
	GRAYDON HEAD & RITCHEY CINCINNATI, OH RETIREMENT PLAN	TERMINATED PARTICIPANT WITH ACCOUNT BALANCE ONLY

Response to Moakley Amendment

- THE CURRENT BUDGET RULES DISCRIMINATE AGAINST TAX CUTS BY REQUIRING THAT THEY BE PAID FOR BY INCREASES IN OTHER TAX REVENUES OR REDUCTIONS IN MANDATORY SPENDING. WE DON'T WANT THE INCONSISTENT POLICY OF SAYING WE NEED TO PAY FOR TAX CUTS, BUT CAN'T DO SO BECAUSE THEY ARE MANDATES.

- WE DO NOT BELIEVE THAT TAX REDUCTIONS -- SUCH AS A CAPITAL GAINS TAX CUTS -- SHOULD CAUSE THOSE REVENUE RAISERS TO BE TREATED AS PRIVATE SECTOR MANDATES, AND SUBJECT TO A POINT OF ORDER.

- IF SOMEONE SAYS, THE CURRENT RULES DISCRIMINATE AGAINST MORE SPENDING, YOU CAN SAY THAT THAT BIAS IS OKAY BECAUSE WE HAVE A $5 TRILLION NATIONAL DEBT AND EVEN PRESIDENT CLINTON SAYS THE ERA OF BIG GOVERNMENT SHOULD BE OVER.

- TOBACCO -- THIS EXEMPTION HAS NOTHING TO DO WITH A TOBACCO BILL OR ANY OTHER BILL, THE HOUSE CAN VOTE WITH A SIMPLE MAJORITY TO DECIDE IF THE MONEY SHOULD BE USED TO FUND AN ANTI-SMOKING CAMPAIGN FOR KIDS OR TO CUT TAXES. THE DIFFERENCE IS THAT TO PAY FOR THE TAX CUTS YOU MUST MANDATE UNDER THE BUDGET ACT, TO PAY FOR AN ANTI-SMOKING CAMPAIGN FOR KIDS THE HOUSE CAN CHOOSE TO PAY FOR IT WITH A MANDATE ON THE TOBACCO INDUSTRY OR A MANDATE ON THE PRIVATE SECTOR.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

RECEIVED

1998 MAY 21 PM 3:42

Glendal (Glenn) William Poshard
(Full Name)

1601 Eugene Lane, Marion, Illinois 62959 (618)993-8532
(Mailing Address) Daytime Telephone

MC MAY 15 1998 (10)
(Office Use Only)

Filer Status: [X] Member of the U.S. House of Representatives — State Illinois District 19 — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	X	
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**		X
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	X	
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**		X
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V**		X
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**		X
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**		X
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	X	
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**		X

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?		X
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?		X

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Glenn Poshard

DATE (Month/Day/Year): May 15, 1998

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Name	Page 1 of 8
Glenn Poshard	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. House of Representatives	Member of Congress	N/A
	Carterville Unit School District, Carterville, Illinois	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

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SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash , D C	Speech	Feb 2, 1997	$2 000
	XYZ Magazine	Article	Aug 13 1997	$500
None				

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Name Glenn Poshard | Page 3 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP / DC / JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other (Type of Income) (Specify. For Example: Farmer's Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction (P, S, E)
SP / DC / JT	*Examples*				indefinite															Royalties												
	Mega Corp Stock					X								X																		
	Simon & Schuster															X																
	1st Bank of Paducah K Y accounts						X																									
SP	Annuity, State Farm Ins.				X																	X										
SP	Annuity, State Farm Ins.				X																	X										
JT	Annuity, State Farm Ins.				X																	X										
JT	Annuity, State Farm Ins.					X																X										
JT	Annuity, State Farm Ins.					X																X										
JT	Annuity, State Farm Ins.					X																X										

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Glenn Poshard

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
JT	Annuity-Edward D.Jones Inv Lincoln Life Insurance					X																X										
JT	Annuity - Mass Mutual Springfield, Massachusetts				X																	X										
	Deferred Compensation-St. of IL				X																	X										
JT	First Investors Tax Exempt Fund New York, New York			X																		X										
JT	Municipal Bonds-H.C. Edwards Investment Firm (Reinvested in Ed. Jones Ann.																															
JT	Scholarship Bonds-St. of IL (Reinvested in Ed.Jones Ann)																															
JT	Savings-Congressional Credit Savings and Loan			X																		X										
SP	Retirement Plan-St.of IL				X																	X										
	Retirement Plan-St.of IL					X																X										

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SCHEDULE IV — TRANSACTIONS

Name Glenn Poshard

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Scholarship Bonds - St. of IL			X			X								
	Municipal Bonds - H.G. Edwards			X		X									

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Name Glenn Poshard

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	Citizens National Bank Mt. Vernon, IL (formerly KCFS)	Guarantor for personal loan to Kris Poshard (Daughter)	X									
	Community National Bank Galatia, IL	Loan to Poshard for Governor Camp.	X									
	Community National Bank Galatia, IL	Loan to Poshard for Governor Camp.			X							
	Community National Bank Harrisburg, IL	Guarantor for personal loan to Dennis Poshard (Son)		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash. D.C.—Chicago—Wash. D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash. D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
See Attached							

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1584File: EXPEND POSHARD
Report: EXPENDITURES-SHORT
Selection: F-NAME contains POSHARD

DATE	CK NO	F-NAME	L-NAME	AMOUNT	ITEMIZED	NOT ITEMI	PURPOSE	DESC	OFFIC
May 9 1997	154	GLENN POSHARD	GLENN POSHARD	1939.2	1939.2	0	MILEAGE	MAR & APR	STATE
May 9 1997	155	GLENN POSHARD	GTE NORTH	231.49	231.49	0	UTILITIES	PHONE REIMB	STATE
May 9 1997	156	GLENN POSHARD	AMTRAK	79	79	0	TRAVEL	TRAIN	STATE
May 9 1997	156	GLENN POSHARD	DELPHIAN HOUSE	72.72	72.72	0	FOOD	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	DELUXE RESTAURANT	15.34	15.34	0	FOOD	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	DENNY'S RESTAURANT	21.74	0	21.74	FOOD	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	ILLINI INN	24.9	0	24.9	FOOD	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	ILLINI INN	13.61	0	13.61	LODGING	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	LA VILLA RESTAURANT	40.37	0	40.37	FOOD	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	MEMBERS DINING ROOM	19.5	0	19.5	TRAVEL	FOOD	STATE
May 9 1997	156	GLENN POSHARD	P.O.G	8	0	8	TRAVEL	PARKING	STATE
May 9 1997	156	GLENN POSHARD	PARK INN INTERNATIONAL	77	0	77	LODGING	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	SAPUTO'S RESTAURANT	14.3	0	14.3	TRAVEL	FOOD	STATE
May 9 1997	156	GLENN POSHARD	SPRINGFIELD HILTON	566.25	566.25	0	FOOD	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	SPRINGFIELD HILTON	251.16	251.16	0	LODGING	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	SUPER 8 MOTEL	40.85	0	40.85	LODGING	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	TROPICS	7.42	0	7.42	FOOD	TRAVEL	STATE
May 9 1997	156	GLENN POSHARD	UNITED AIR	523	523	0	TRAVEL	AIR HERRIN-DC	STATE
				3975.85*	3708.16*	267.69*			

Schedule VII - Travel Payments and Reimbursements

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Board Member (Non-compensated)	Faith in Politics Institute, Washington, D.C. (Not for profit)
Vice-President (Non-compensated)	Illinois State Society of Washington, D.C. (Not for profit)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (max.)

Use additional sheets if more space is required.

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98 JUN 12 PM 9:40
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

House of Representatives (12)
Washington, D.C. 20515

MEMORANDUM

MC

Amendment covers new 1st page and additional attachment to Schedule VII with details of mileage + destinations.

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(Office Use Only)

3032

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Glendal William Poshard (Glenn)
(Full Name)

1601 Eugene Lane, Marion, Illinois 62959 (618) 993-8532
(Mailing Address) (Daytime Telephone)

Filer Status	[X] Member of the U.S. House of Representatives	State 12 District 19	[ ] Officer or Employee	Employing Office	**A *$200 penalty* shall be assessed against anyone who files more than 30 days late.**
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination	Termination Date	

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Glenn Poshard

DATE (Month/Day/Year): 6/11/98

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. House of Representatives	Member of Congress	N/A
	Carterville Unit School District, Carterville, Illinois	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

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Name Glenn Poshard	Page 2 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500
	None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Glenn Poshard

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp Stock					X								X									X								P
DC	Simon & Schuster		Indefinite																	Royalties								X			
JT	1st Bank of Paducah KY accounts						X									X									X						
SP	Annuity, State Farm Ins.				X																	X									
SP	Annuity, State Farm Ins.				X																	X									
JT	Annuity, State Farm Ins.				X																	X									
JT	Annuity, State Farm Ins.					X																X									
JT	Annuity, State Farm Ins.					X																X									
JT	Annuity, State Farm Ins.					X																X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Glenn Poshard

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Annuity-Edward D.Jones Inv Lincoln Life Insurance					X																X										
JT	Annuity - Mass Mutual Springfield, Massachusetts				X																	X										
	Deferred Compensation-St. of IL				X																	X										
JT	First Investors Tax Exempt Fund New York, New York			X																		X										
JT	Municipal Bonds-H.G. Edwards Investment Firm (Reinvested in Ed. Jones Ann.																															
JT	Scholarship Bonds-St. of IL (Reinvested in Ed.Jones Ann)																															
JT	Savings-Congressional Credit Savings and Loan			X																		X										
SP	Retirement Plan-St.of IL				X																	X										
	Retirement Plan-St.of IL					X																X										

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SCHEDULE IV — TRANSACTIONS

Name Glenn Poshard

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10–12–97		X								
	Scholarship Bonds - St. of IL			X			X								
	Municipal Bonds - H.G. Edwards			X		X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Citizens National Bank Mt. Vernon, IL (formerly KCFS)	Guarantor for personal loan to Kris Poshard (Daughter)	X									
	Community National Bank Galatia, IL	Loan to Poshard for Governor Camp.		X								
	Community National Bank Galatia, IL	Loan to Poshard for Governor Camp.			X							
	Community National Bank Harrisburg, IL	Guarantor for personal loan to Dennis Poshard (Son)		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
See Attached							

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3039

1584File: EXPEND POSHARD
Report: EXPENDITURES-SHORT
Selection: F-NAME contains POSHARD

Page
5-13-98

	DATE	CK NO	F-NAME	L-NAME	AMOUNT	ITEMIZED	NOT ITEMI	PURPOSE	DESC	OFFIC
*	May 9 1997	154	GLENN POSHARD	GLENN POSHARD	1969.2	1969.2	0	MILEAGE	MAR & APR	STATE
	May 9 1997	155	GLENN POSHARD	GTE NORTH	231.49	231.49	0	UTILITIES	PHONE REIMB	STATE
	May 9 1997	156	GLENN POSHARD	AMTRAK Chicago - Carbondale	79	79	0	TRAVEL	TRAIN	STATE
	May 9 1997	156	GLENN POSHARD	DELPHIAN HOUSE	72.72	72.72	0	FOOD	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	DELUXE RESTAURANT	15.34	15.34	0	FOOD	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	DENNY'S RESTAURANT	21.74	0	21.74	FOOD	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	ILLINI INN	24.9	0	24.9	FOOD	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	ILLINI INN	13.61	0	13.61	LODGING	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	LA VILLA RESTAURANT	40.37	0	40.37	FOOD	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	MEMBERS DINING ROOM	19.5	0	19.5	TRAVEL	FOOD	STATE
	May 9 1997	156	GLENN POSHARD	P.O.G	8	0	8	TRAVEL	PARKING	STATE
	May 9 1997	156	GLENN POSHARD	PARK INN INTERNATIONAL	77	0	77	LODGING	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	SAPUTO'S RESTAURANT	14.3	0	14.3	TRAVEL	FOOD	STATE
1/10	May 9 1997	156	GLENN POSHARD	SPRINGFIELD HILTON	566.25	566.25	0	FOOD	TRAVEL	STATE
1/12	May 9 1997	156	GLENN POSHARD	SPRINGFIELD HILTON	251.16	251.16	0	LODGING	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	SUPER 8 MOTEL	40.85	0	40.85	LODGING	TRAVEL	STATE
1/30	May 9 1997	156	GLENN POSHARD	TROPICS	7.42	0	7.42	FOOD	TRAVEL	STATE
	May 9 1997	156	GLENN POSHARD	UNITED AIR	523	523	0	TRAVEL	AIR HEARINGS	STATE
					3975.85*	3708.16*	267.69*			

~~[illegible]~~

* See additional Attachment

- All transactions from March + April 1997, Reimbursed on May 9, 1997 by Poshard for Governor Campaign.

Schedule VII - Travel Payments and Reimbursements

Schedule VII Attachment, Congressman Glenn Poshard

Date	Description	Mileage
3/1/97	Marion - Ottawa - Marion	626
3/3/97	Effingham - Springfield - St. Louis	275
3/6/97	Marion - Des Plaines	350
3/10/97	Des Plaines - Marion	350
3/21/97	St. Louis - Beardstown	138
3/22/97	Beardstown - Pekin - Lincoln - Peoria - Canton - Des Plaines	408
3/23/97	Des Plaines - Rockford - Belvidere	126
	Total March '97 Mileage	**2273**
4/1/97	Des Plaines - Chicago	65
	Parking - $18.00	
4/2/97	Des Plaines - Chicago	53
4/3/97	Des Plaines - Chicago	64
4/3/97	Chicago - Champaign - Decatur	224
4/5/97-4/6/97	Marion - Gillespie - Danville - Peoria - Decatur - Roberts - Watseka - Carterville - Marion	984
4/18/97-	Marion - Belleville - Alton - Springfield - Taylorville - Springfield	
4/19/97	Springfield - McComb - Quincy - Pittsfield - White Hall - Springfield	
4/20/97	Springfield - Lincoln - Charleston - Paris - Champaign - Roberts	
4/21/97	Roberts - Joliet - Chicago - Springfield	
4/22/97	Springfield - Ford Heights - Marion	1,757
4/24/97-4/26/97	St. Louis - Springfield - Des Plaines Des Plaines - Chicago - Oak Park - Des Plaines	
4/27/97	Des Plaines - Roberts - Belleville - Marion	1,084
	Total April '97 Mileage	**4,231**

March Mileage	2,273
April Mileage	+ 4,231
	6,504

6,504 miles @ $.30 per mile =	$1951.20
Parking (4/1/97)	+ $18.00
Total 1997 Mileage Reimbursement	**$1,969.20**

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member (Non-compensated)	Faith in Politics Institute, Washington, D.C. (Not for profit)
Vice-President (Non-compensated)	Illinois State Society of Washington, D.C. (Not for profit)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

98 MAY 15 PM 2:18

HAND DELIVERED

(Office Use Only)

8

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

David Eugene Price
(Full Name)

106 Collums Road
(Mailing Address)

Chapel Hill NC 27514

Daytime Telephone 202-225-1784

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	[X] Member of the U.S. House of Representatives	State NC District 04	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [X] No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: David E. Price

DATE (Month/Day/Year): 5/14/98

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Name David Eugene Price	Page ___ of ___

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	HarperCollins (formerly Westview Press)	book royalties	$830.72
	North Carolinians Against Gun Violence	spouse salary	NA
	NCGV Education Fund	spouse salaray	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name David Eugene Price | Page ____ of ____

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left. For further information, see Instructions, pages 14-20.	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP, DC, JT *Examples* SP Mega Corp. Stock 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
BB&T Certificate of Deposit (redeemed 12/97)	$15,001 - $50,000	Interest	$1,001 - $2,500	
Smith Barney Money Market units	$1,001 - $15,000	Dividends	$1,001 - $2,500	
N.C. Eastern Municipal Power Agency Bonds	$1,001 - $15,000	Interest	$201 - $1,000	
N.C. Municipal Power Agency #1 Bonds	$1,001 - $15,000	Interest	$201 - $1,000	
Duplin Co., N.C. Municipal Bonds	$1,001 - $15,000	Interest	$201 - $1,000	
American Precision Industries stock	$1,001 - $15,000	Dividends	$1 - $200	
Cisco Systems stock	$1,001 - $15,000	Dividends	None	

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Name David Eugene Price | Page ____ of ____

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Coca Cola stock	$15,001 - $50,000	Dividends	$201 - $1,000	
Con Natural Gas stock	$1,001 - $15,000	Dividends	$1 - $200	
Electronic Data Systems stock	$1,001 - $15,000	Dividends	$1 - $200	
Emerson Electric stock	$1,001 - $15,000	Dividends	$201 - $1,000	
General Electric stock	$15,001 - $50,000	Dividends	$201 - $1,000	
Gillette stock	$1,001 - $15,000	Dividends	$1 - $200	
Home Depot stock	$1,001 - $15,000	Dividends	$1 - $200	
Intel Corp stock	$1,001 - $15,000	Dividends	$1 - $200	
McDonald's Corp stock	$1,001 - $15,000	Dividends	$1 - $200	
Minn Mining & MFG stock	$1,001 - $15,000	Dividends	$201 - $1,000	
Motorola Inc stock	$1,001 - $15,000	Dividends	$1 - $200	
Pepsico Inc stock	$15,001 - $50,000	Dividends	$201 - $1,000	
Tricon Global Rest stock	$1,001 - $15,000	Dividends	$1 - $200	
N W Mutual Life Insurance Policy	$1,001 - $15,000	Dividends	$201 - $1,000	
TIAA/CREF Retirement Plan	$100,001 - $250,000	Retirement Plan	None	

Name David Eugene Price	Page ____ of ____

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	N C Eastern Municipal Power Agency Bonds	Sold	1/2/97	$15,001 - $50,000
	N C Eastern Municipal Power Agency Bonds	Purchase	1/16/97	$1,001 - $15,000
	N C Municipal Power Agency #1 Bonds	Purchase	1/16/97	$1,001 - $15,000
	Cisco Systems common stock	Purchase	1/16/97	$1,001 - $15,000
	Intel Corp. common stock	Purchase	1/16/97	$1,001 - $15,000

Name David Eugene Price	Page ___ of ___

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. **Exclude**: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
The Aspen Institute	March 7-9	Wash., DC - Hershey, PA - DC	Y	Y	Y	0
St. John's College	April 3-5	Wash., DC - Santa Fe, NM - DC	Y	Y	Y	0
Democratic Leadership Council & Progressive Policy Institute	May 1-3	Wash., DC - Charleston, SC - DC	Y	Y	N	0
Center for Middle East Peace	December 9-18	Wash., DC - Egypt - Israel - Syria - DC	Y	Y	N	0

Name David Eugene Price	Page ____ of ____

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Consulting Editor	Current Magazine
Professor on leave	Duke University

Name David Eugene Price	Page ___ of ___

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26-27.

Date	Parties To	Terms of Agreement
7/96 - present	Duke University	unpaid leave of absence

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

RECEIVED

98 MAY 22 AM 11:15

FILE IN THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MAY 1 5 1998

(Office Use Only)

16

Deborah D. Pryce
(Full Name)

5602 Riverside Drive, Dublin, Ohio 43017
(Mailing Address)

(614) 766-1906
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State Ohio District 15th	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [X] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [X] No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct in its discretion. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Deborah Pryce

DATE (Month/Day/Year): 5/15/98

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Commercial One Realtors, Inc., Columbus, Ohio	Spouse's Commissions	$79,364.00
	United Ohio Insurance Company	Spouse's Director Fee	$ 4,100.00
	Ohio Mutual Insurance Company	Spouse's Director Fee	$ 9,025.00
	Charing Road Partnership	Spouse's Management Fee	$ 1,941.00

For payments to charity in lieu of honoraria, use Schedule II.

3052

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C. XYZ Magazine	Speech Article	Feb. 2, 1997 Aug. 13, 1997	$2,000 $500
Honda North America, Inc.	Speech	July 10, 1997	$500

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Name Deborah D. Pryce | Page 4 of 10

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRAs and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	Value of Asset: None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	Amount of Income: None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	Transaction (P, S, E)
SP	Examples: Mega Corp. Stock					X								X																	P
DC	Simon & Schuster		Indefinite																	Royalties								X			E
JT	1st Bank of Paducah KY accounts						X									X									X						P
	Congressional Federal Credit Union		X													X						X									
SP	Equitable Capitol Partners		X											X		X	X					X									
JT	Huntington National Bank		X													X						X									
SP	Huntington National Bank Re Acct.		X													X						X									
SP	Internal Revenue Service Ed Walker Estate	X	Settlement of estate, value -0-													X						X									
SP	Laurianne Woods Ltd. Partnership		X												X	X						X									

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Deborah D. Pryce

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
	Ohio Bank - Checking		X												X							X										
	Ohio Bank - Savings				X										X									X								
	State Savings Bank		X												X							X										
SP	Zoom, Ltd. 31-6165195 (11.67%)						X								X	X							X									
	Bank One (2543sh @ 49. 3/8)						X							X											X							
JT	Merrill Lynch - Steele Tech		X											X								X										
SP	340 East Gay, Cols.								X						X						X											
	Charing Road Associates						X								X								X									
SP	Bonded Development Co., Ltd.						X										X									X						
SP	Ohio Company (IRA Retirement)			X										See Broker Statement									X									
	Ohio Company (IRA Retirement)			X										See Broker Statement									X									
	Merrill Lynch (IRA Retirement)				X									See Broker Statement									X									
SP	726 S. High Street							X							X						X											
SP	32-46 W. Kossuth St. (Pyramid)							X							X						X											
SP	510-512 S. 4th Street (Pyramid)						X								X						X											
SP	Penn Mutual Life Ins.			X												X					X											P
SP	Fore Sun, Ltd.			X																Ordinary		X										
SP	Charing Road (Retirement)			X											X								X									
	Mass Mutual Life Insurance		X											X								X										

This page may be copied if more space is required.

Name Deborah D. Pryce | Page 6 of 10

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	Bonded Development Company		X		1-10-97	X									
SP	Penderbrook I Ltd. Partnership				From Estate of Ed Walker--No Decernable Value										
SP	Dominion Homes	X	X		7-18-97	X									
SP	340 E Gay Street, Cols OH (1/2 interest)	X			1-1-97			X							
SP	Borror Corp.	X	X		3-10-97	X									
SP	Fore Sum, Ltd	X			6-1-97	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St. Dover, Del.*				X						
SP	The Ohio Bank	Mtg 726 S High St, Cols OH				X						
SP	The Ohio Bank	Mtg 32-46 W Kossuth, Cols, OH				X						
SP	The Ohio Bank	Mtg 510-12 S 4th St, Cols OH				X						
JT	The Ohio Bank	Mtg Charing Road, Cols OH				X						
SP	The Ohio Bank	Mtg 340 E Gay St, Cols OH				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives; gifts of personal hospitality of an individual; local meals; and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	*Silver Platter (determination on personal friendship received from Committee on Standards)*	*$270*
NONE		

Use additional sheets if more space is required

Name	Deborah D. Pryce	Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St., Dover, Del*				x						
SP	Donna Walker	Mtg 340 Gay St, Cols OH				X						
SP	Karren Walker	Personal Note		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute (Congressional Program)	3-26 to 4-5-97	Cols., OH - Phoenix - L.A.-Honolulu Honolulu-L.A.-Las Vegas-Cols., OH	Y	Y	Y	5 Days

This page may be copied if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Board Member	Trustee of the National Fund for the US Botanical Garden

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
1978	State of Ohio Public Employees Retirement Chapter 145.01 Ohio Revised Code	Qualified Retirement Paln to begin at retirement-Age65

Use additional sheets if more space is required.

The Ohio Company
Member New York Stock Exchange
Member SIPC

155 East Broad Street
Columbus, Ohio 43215

Account Number
01-90390 8-0

Period Ending
December 31, 1997

Investment Executive
Ms. Sherry L. Maynard
(614) 464-7036

The Ohio Company Cust.
FBO Randy L. Walker
340 E. Gay St.
Columbus, OH. 43215

The Taxpayer Relief Act of 1997 provides individuals with more opportunities and incentives to save. Call your Investment Executive for details on the Education IRA, Roth IRA and the enhanced "traditional" IRA today

Type of Account
Self-Directed IRA

Portfolio Summary

	Market Value	% of Total
Investments		
Stocks	$0	0.0
Mutual Funds	7,469	100.0
Unit Investment Trusts	0	0.0
Mortgaged Backed Securities	0	0.0
Corporate Bonds and Notes	0	0.0
U.S. Govt & Federal Agencies	0	0.0
Municipal Bonds and Notes	0	0.0
Other Investments	0	0.0
Cash and Money Funds	0	0.0
Total Portfolio Value	$7,469	100.0
Previous Month's Value	$7,323	

Income Summary

	Income Received This Month	Y-T-D
Dividends	$17.72	$59.41
Interest	0.00	0.00
U.S. Govt Interest	0.00	0.00
Other Income	494.39	494.39
Total Income	$512.11	$553.80

Money Balance Summary

	Opening Balance	Closing Balance
Cash	$0.00	$0.00
Cardinal Money Mkt	0.00	0.00
Cardinal in Transit	0.00	0.00
Total Cash Balance	$0.00	$0.00

Activity Summary

Deposits/Credits	
Securities Sold	$0.00
Income	512.11
Transferred from Money Fund	0.00
Return of Principal	0.00
Contributions	0.00
Other Deposits/Credits	0.00
Total Deposits/Credits	$512.11
Withdrawals/Debits	
Securities Purchased	$0.00
Accrued Interest Pd on Purchases	0.00
Transferred to Money Fund	0.00
Dividends Reinvested	512.11
Distributions	0.00
Other Withdrawals/Debits	0.00
Total Withdrawals/Debits	$512.11

Annual Record	1996	1997(Y-T-D)
Contributions	$0.00	$0.00
Distributions	$0.00	$0.00

The prices indicated are approximate. They are intended to be of help to you in establishing the value of your portfolio. The Ohio Company obtains from various outside sources prices deemed to be reliable but not guaranteed. N/A denotes that a price was not available. Some securities are valued even though they may have limited marketability. As a result, you may not be able to realize the stated value of certain securities if you seek to liquidate.

Please retain this statement for income tax purposes.

Merrill Lynch
Pierce, Fenner & Smith Inc.
Member: Securities Investor Protection Corporation (SIPC)

Statement of Retirement Account

ACCOUNT #	F/C#	PAGE #	SOCIAL SEC. #
656 92C87	9824	1	294-50-5500

STATEMENT PERIOD	EIN NUMBER
09/27/97 TO 12/31/97	00-0000000

FINANCIAL CONSULTANT	ACCOUNT TYPE
PULERI/LEEMAN/CIEHAN (800) 216-1428	IRA

OFFICE SERVING YOUR ACCOUNT
65 E. STATE ST., SUITE 2600
COLUMBUS OH 43215

MLPF& S CUST FPO
DEBORAH PRYCE IRA
FBO DEBORAH PRYCE
5602 RIVERSIDE DR
DUBLIN OH 43017-1547

***** ACCOUNT SUMMARY *****

PRICED PORTFOLIO		DIVIDEND/INTEREST	
AS OF 12/31/97. . . .	$20,152.66	THIS STATEMENT.....	$606.56CR
AS OF 09/26/97. . . .	$21,184.63	THIS YEAR	$709.19CR

***** CONTRIBUTION INFORMATION *****

TAX YEAR 1996	TAX YEAR 1997
$.00	$.00

***** DISTRIBUTION INFORMATION *****

TAX YEAR 1996	TAX YEAR 1997
$.00	$.00

***** MONEY ACCOUNT QUARTERLY DIVIDEND/INTEREST RECAP *****

MONEY ACCOUNT	OCTOBER	NOVEMBER	DECEMBER	CURRENT MONTH'S EFFECTIVE YIELD
ML RETIREMENT RESERVES	$1.18	$.93	$1.09	5.30

***** DAILY ACCOUNT ACTIVITY *****

DATE	TRANSACTION		DESCRIPTION	PRICE	AMOUNT
09 27	OPENING BALANCE				$.09CR
11 17	FEE		1997 CUSTODIAL FEE		$42.37
11 18	SALE	43	ML RETIREMENT RESERVES		$43.00CR
11 18	RECEIVED	43	ML RETIREMENT RESERVES		
12 24	*DIVIDEND		MFS EMERGING GR FD CL A		$33.71CR
12 24	*LG TM CAP GAIN		MFS EMERGING GR FD CL A		$113.49CR
12 26	FUND DELIVERY	147	ML RETIREMENT RESERVES		
12 26	PURCHASE	147	ML RETIREMENT RESERVES		$147.00
12 29	*DIVIDEND		ML GLOBAL ALLOCATION A		$133.86CR
12 29	REINVESTMENT		ML GLOBAL ALLOCATION A		$133.86
12 29	*LG TM CAP GAIN		ML GLOBAL ALLOCATION A		$251.89CR
12 29	REINVESTMENT		ML GLOBAL ALLOCATION A		$251.89
12 29	*SH TM CAP GAIN		ML GLOBAL ALLOCATION A		$70.41CR
12 29	REINVESTMENT		ML GLOBAL ALLOCATION A		$70.41
12 29	DIVD REINV	5	ML GLOBAL ALLOCATION A AGENT REINV AMOUNT $70.41 REINV PRICE $14.09 QUANTITY BOT 4.9970		
12 29	DIVD REINV	10	ML GLOBAL ALLOCATION A AGENT REINV AMOUNT $133.86 REINV PRICE $14.09 QUANTITY BOT 9.5000		
12 29	DIVD REINV	18	ML GLOBAL ALLOCATION A		

-000008157

DECEMBER, 1997

Please advise your Financial Consultant immediately of any discrepancies on your statement or if you contemplate changing your address. When mailing inquiries please mention your account number and address all correspondence to the office servicing your account. Please retain this statement for your tax records. See reverse side for explanation of key terms.

CODE 1129R 93 3h

Merrill Lynch

Merrill Lynch
Pierce, Fenner & Smith Inc.
Member, Securities Investor Protection Corporation (SIPC)

Statement of Retirement Account

ACCOUNT #	F/C#	PAGE #	SOCIAL SEC. #
656 92C87	9824	2	294-50-5500

MLPF& S CUST FPO
DEBORAH PRYCE IRA

***** DAILY ACCOUNT ACTIVITY *****

DATE	TRANSACTION	DESCRIPTION	PRICE	AMOUNT
		AGENT REINV AMOUNT $251.89 REINV PRICE $14.09 QUANTITY BOT 17.8770		
12 31	CLOSING BALANCE			$.92C

***** CURRENT PORTFOLIO *****

QUANTITY	INVESTMENT DESCRIPTION	CURRENT PRICE	MARKET VALUE	CURR. YIELD	EST. INCOME
429.5850	MFS EMERGING GROWTH FUND CLASS A	36.180	$15542		
301.3030	ML GLOBAL ALLOCATION A	14.140	$4260	4.73	$20
TOTALS FOR PRICED INVESTMENTS			$19802		$20

MONEY ACCOUNT	OPENING BALANCE AS OF 09/27	CLOSING BALANCE AS OF 12/31	DIVIDENDS/INTEREST THIS STMT.	YEAR TO DATE
ML RETIREMENT RESERVES	$242.54	$349.74	$3.20	$11.71

IN CALCULATING MANDATORY DISTRIBUTIONS, OR FOR THE PURPOSE OF COMPLETING IRS FORM 860(YOU MUST USE THE VALUE OF YOUR ACCOUNT AS OF 12/31/97. THIS VALUE SHOULD INCLUDE YOUR PRICED PORTFOLIO TOTAL AND THE VALUE OF CERTAIN LIMITED PARTNERSHIPS AND OTHER DIRECT INVESTMENTS, AS WELL AS ANY SECURITIES THAT WE ARE UNABLE TO PRICE - MARKED "UNAVAILABLE". THE "YEAR-END PLAN VALUE" BELOW CONSISTS OF YOUR PRICED PORTFOLIO TOTAI PLUS THE ESTIMATED VALUE OF LIMITED PARTNERSHIPS OR OTHER DIRECT INVESTMENTS REPORTED ON YOUR YEAR-END STATEMENT.

YEAR-END PLAN VALUE AS OF 12/31/97: $20,152.66

FOR IRA, IRRA AND SEP/IRA ACCOUNTS, THE YEAR-END PLAN VALUE REPRESENTS THE VALUATION WE MUST FURNISH TO YOU AND THE INTERNAL REVENUE SERVICE AS PART OF THE IRS FORM 5498 REPORTING REQUIREMENTS.

GET THE INS AND OUTS OF IRA DURING MERRILL LYNCH'S ONLINE SEMINAR ON 1/28/98. LOG ON AT ML.COM AT 3 OR 9 PM TO PARTICIPATE.

-000008138 END OF STATEMENT DECEMBER, 199

Please advise your Financial Consultant immediately of any discrepancies on your statement or if you contemplate changing your address. When making inquiries, please mention your account number and address all correspondence to the office servicing your account. Please retain this statement for your tax records. See reverse side for explanation of key terms.

Merrill Lynch

01-09583-3-1 December 31, 1997

Ms. Sherry L. Maynard
(614) 464-7033

THE OHIO COMPANY CUST.
FBO DEBORAH D. PATCE
5602 RIVERSIDE DR.
DUBLIN, OHL 43017

The Taxpayer Relief Act of 1997 provides individuals with more opportunities and incentives to save. Call your Investment Executive for details on the Education IRA, Roth IRA and the enhanced "traditional" IRA today.

Self-Directed IRA

Investments		
Stocks	$0	0.0
Mutual Funds	7,298	100.0
Unit Investment Trusts	0	0.0
Mortgaged Backed Securities	0	0.0
Corporate Bonds and Notes	0	0.0
U.S. Govt & Federal Agencies	0	0.0
Municipal Bonds and Notes	0	0.0
Other Investments	0	0.0
Cash and Money Funds	0	0.0
Total Portfolio Value	$7,298	100.0
Previous Month's Value	$7,155	

Dividends	$17.31	$57.35
Interest	0.00	0.00
U.S. Govt Interest	0.00	0.00
Other Income	[illegible]	[illegible]
Total Income	$500.39	$541.00

Deposits/Credits	
Securities Sold	$0.00
Income	$500.39
Transferred from Money fund	0.00
Return of Principal	0.00
Contributions	0.00
Other Deposits/Credits	0.00
Total Deposits/Credits	$500.39
Withdrawals/Debits	
Securities Purchased	$0.00
Accrued Interest Pd on Purchases	0.00
Transferred to Money fund	0.00
Dividends Reinvested	$00.39
Distributions	0.00
Other Withdrawals/Debits	0.00
Total Withdrawals/Debits	$500.39

Cash	$0.00	$0.00
Cardinal Money Mkt	0.00	0.00
Cardinal in Transit	0.00	0.00
Total Cash Balance	$0.00	$0.00

Annual Record	1996	1997(T-T-D)
Contributions	$0.00	$0.00
Distributions	$0.00	$0.00

01-69583-8-1 December 31, 1997

THE OHIO COMPANY CUST.
FBO DEBORAH D. PRICE

PORTFOLIO POSITIONS

Investments

Quantity	Description	Symbol Or Cusip	Market Price	Market Value	Current Yield (%)	Est Annual Income
Mutual Funds						
465.460	THE CARDINAL FUND INVESTOR SHARES	CDFIX	15.680	7,298	0.86	63
Total Investments				$7,298		$63

ACCOUNT ACTIVITY

Deposits/Credits

Date	Description	Quantity	Price	Amount
Income				
12-19 Dividend	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/18/97; 15.350/Share			17.31
12-22 Long Term Cap Gain	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/19/97; 15.350/Share			433.73
12-22 Short Term Cap Gain	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/19/97; 15.350/Share			49.35
Total				$500.39
Total Deposits/Credits				$500.39

Withdrawals/Debits

Date	Description	Quantity	Price	Amount
Dividends Reinvested				
12-19 Reinvest	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/18/97; 15.350/Share	1.128		17.31
12-22 Reinvest	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/19/97; 15.350/Share	28.256		433.73
12-22 Reinvest	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/19/97; 15.350/Share	3.215		49.35
Total				$500.39
Total Withdrawals/Debits				$500.39

01-69583-6-1 December 31, 1997

THE OHIO COMPANY CUST.
FBO DEBORAH O. PRYCE

Activity By Date

Date	Description	Quantity	Price	Amount
12-19 Dividend	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/18/97; 15.350/Share			17.31
12-19 Reinvest	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/18/97; 15.350/Share	1.128		17.31-
12-22 Long Term Cap Gain	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/19/97; 15.350/Share			433.73
12-22 Short Term Cap Gain	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/19/97; 15.350/Share			49.35
12-22 Reinvest	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/19/97; 15.350/Share	28.256		433.73-
12-22 Reinvest	THE CARDINAL FUND INVESTOR SHARES Pay Date 12/19/97; 15.350/Share	3.215		49.35-

Thank you for investing with The Ohio Company
...END OF STATEMENT...

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(Office Use Only)

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3067

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

JACK QUINN (Full Name)

331 CANNON OFFICE BLDG (Mailing Address)

WASHINGTON, DC 20515

Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State NY District 30	[ ] Officer or Employee	Employing Office	A *$200 penalty* shall be assessed against anyone who files more than 30 days late.
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [ ] No [X]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Jack Quinn

DATE (Month/Day/Year): April 27, 1998

Name	JACK QUINN	Page 1 of 3

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
OLV HOSPITAL 55 MELROY LACKAWANNA NY 14218	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II

3068

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B												Block C							Block D											Block E
		A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	
SP	Examples					X								X										X								P
DC	Examples			Indefinite																Royalties									X			P
JT	Examples						X									X										X						
JT	KEY BANK CD's				X									X										X								
JT	MUTUAL FUNDS				X									X										X								
JT	PAYROLL SAVINGS			X										X									X									
DC	MUTUAL FUNDS				X									X										X								
DC	MUTUAL FUNDS			X										X									X									

For additional assets and unearned income, use next page

3069

JACK QUINN
30TH DISTRICT, NEW YORK

TRANSPORTATION AND
INFRASTRUCTURE

SUBCOMMITTEES

SURFACE TRANSPORTATION
WATER RESOURCES AND ENVIRONMENT
RAILROADS

VETERANS' AFFAIRS

SUBCOMMITTEE CHAIRMAN

BENEFITS

Congress of the United States
House of Representatives
Washington, D.C. 20515-3230

PLEASE REPLY TO:

WASHINGTON OFFICE
331 CANNON BUILDING
WASHINGTON, DC 20515
(202) 225-3306
FAX (202) 226-0347

MAIN OFFICE:
403 MAIN STREET
SUITE 240
BUFFALO, NY 14203-2199
(716) 845-5257
FAX (716) 847-0323

SATELLITE OFFICE
1490 JEFFERSON AVENUE
BUFFALO, NY 14208
(716) 886-4076

May, 1998

Financial Disclosure Addendum

Our family financial situation continues to be affected by Educational Expenses for the second year.

College tuition for our son , a sophomore at Siena College in Albany, New York, was approximately $22,000 in 1997.

Our daughter continues as a sophomore at Nardin Academy in Buffalo, at an estimated cost of $5,000 in 1997.

We receive no financial assistance and expect this situation to continue for the future.

Jack Quinn
April 28, 1998

98 MAY 29 PM 4:11

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(Office Use Only)

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3071

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members officers, and employees

George Radanovich
(Full Name)

213 Cannon House Office Building
(Mailing Address)

Washington, DC 20515
Daytime Telephone (202) 225-4540

Filer Status	[X] Member of the U S House of Representatives	State CA District 19	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

A $200 penalty shall be assessed against anyone who files more tha 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV Did you, your spouse or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [X] No [ ]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [X] No [ ]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse or dependent child? (See Instructions, pages 10-11) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL George Radanovich

DATE (Month/Day/Year) 5/29/98

Name George Radanovich	Page ___ of ___

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Woodward & McDowell Political Consulting firm - C	Salary of Ethie Weaver (wife)	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name George Radanovich	Page ___ of ___

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC *Examples* SP JT	Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Stock in Radanovich Winery	$100,001 - $250,000	None	None	NA
	1/3 interest Property 3891 Ben Hur Road	$15,001 - $50,000	None	None	P

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Name George Radanovich	Page ____ of ____

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Radanovich Winery Stock (2430 Shares)	Purchase	various	$15,001 - $50,000
	Repurchase of Winery Stock from Mary White	Purchase	various	$1,001 - $15,000
	Paid off Previously reported notes Tenya Lodge,Mary White	Sold	various	$15,001 - $50,000

Name George Radanovich	Page __ of __

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Congressional Credit Union	Signiture Loan	$10,001 - $15,000
	Louise Hudson, Mariposa, CA	Real Estate - 1/3 partner	$15,001 - $50,000

Name George Radanovich	Page ____ of ____

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Armenian Technology Group (209)227-7464	March 31 - April7	Fresno-Armenia-Fresno	Y	Y	Y	none
National Fed Croation-Americans(202)331-2830	May 3-4	DC-Pittsburg-DC	Y	Y	Y	NONE
Western States Coalition(801)586-4239	Aug 27-30	Fresno-Utah-Wyoming-Idaho-Fresno	Y	Y	Y	None
Congressional Economic Leadership Institute	Nov 16-23	DC-Bonn-paris-DC	Y	Y	Y	None

Name George Radanovich	Page ____ of ___

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
President (unpaid)	Radanovich Winery, Inc

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3078

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Nick Joe Rahall, II
(Full Name)

1801 Harper Road
(Mailing Address)

Beckley, WV 25801

Daytime Telephone
(202) 225-3452

Filer Status	[X] Member of the U.S. House of Representatives	State WV District 3rd	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Nick Joe Rahall II

DATE (Month/Day/Year): 5-15-98

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
WTNJ Radio Station, WV Broadcasting, Inc.	Salary	11,000
WTNJ Radio Station, WV Broadcasting, Inc.	Bonus and Non-Employee Comp.	7,834

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
Examples XYZ Magazine	Article	Aug. 13, 1997	$500
Laborers-Employers Cooperation & Education Trust, Wash., DC	Speech	Feb. 3, 1997	$1000.00
American Trucking Association, Wash., DC	Speech	May 7, 1997	$2000.00
National Ready Mixed Concrete Associations, Wash., DC	Speech	June 10, 1997	$ 500.00

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X																		P
DC	Simon & Schuster			Indefinite																Royalties												
JT	1st Bank of Paducah, KY accounts						X									X																
JT	EGR Industries, Inc. –							X							X											X						
	Investment Bldg & Land –																															
	Harper Road Co-Mac,																															
	Cellular One, Beckley, WV																															
	and Condo in South																															
	Carolina – ½ with brother																															

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

Page 4 of 17

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	WV Broadcasting WTNJ - P.O. Box 1127 Beckley, WV 25802-1127 Equipment Lease			X											X											X						
JT	Hernando Co. FL; Land with brother, cousins and friends - Approximately 250 Acres				X																X											
JT	H. L. & R Corp. - Raleigh County, WV Land and money market - ½ with brother							X						X		X					X											
	Rahall Realty - Beckley, WV (12½%)			X										X									X									
	Bank of Northern, VA Checking Account			X												X						X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

Page 5 of 17

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
	Hilton Head SC Time - Share Property - two week peak season			X																	X											
	WV Broadcasting stock							X													X											
JT	Glade Springs, 1/5 Raleigh Co., WV Land	X															X						X									S
	Flat Top Lake Land - Raleigh Co., WV	X															X											X				S
	Wheat First Securities Account - See Attachment 1								X					X		X	X										X					Attach. 20
	Smith Barney Shearson Account - See Attachment 2									X				X		X										X						

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Dean Witter Reynolds Access #1 Acct. See Attachments 3 and 4					X								X		X	X									X						Attach. 21
	Dean Witter Reynolds Access #2 Acct. See Attachments 5 and 6						X							X		X	X									X						Attach. 22
	Dean Witter Reynolds Access #3 Acct. See Attachments 7 and 8						X							X		X	X									X						Attach. 23
	Dean Witter Reynolds IRA Account. See Attachment 9				X									X		X	X							X								Attach. 30
	Smith Barney U.S. Government Securities Port. Fund			X										X							X											S
	D H Blair & Co., Inc. Account See Attachment 10				X									X		X	X				X											Attach. 24

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
DC	Rebecca Rahall - daughter							X						X		X	X									X						Attach. 26
	Wheat First Account																															
	(Attachment 11) and																															
	Smith Barney Account																															
	(Attachment 12)																															
	Hanifen, Imhoff Clearing	X												X		X	X					X										Attach. 25
	Corp. Account																															
	See Attachment 13																															
	Congressional Fed Credit			X												X						X										
	Union Account																															
DC	N.J. Rahall, III - son -								X					X		X	X										X					Attach. 27 and 28
	Wheat First Account																															
	(Attachment 16) and																															
	Smith Barney Account																															
	(Attachment 17)																															
DC	Suzanne Rahall - daughter						X							X		X	X									X						Attach. 29
	Wheat First Account																															
	(Attachment 18)																															

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
DC	Rebecca Rahall - First State Bank of WV Savings Account				X											X							X									
DC	Rebecca Rahall - Senate Credit Union Savings Account		X													X						X										
DC	Rebecca Rahall - WTNJ WV Broadcasting Nonemployee Compensation	X																								X						
DC	N.J. Rahall, III - Bank of Raleigh, WV Savings Account and Certificates of Deposit				X											X								X								
DC	N.J. Rahall, III - Bank of Northern VA Certificate of Deposit			X												X							X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
DC	N.J. Rahall, III - United National Bank, WV - Savings Account			X												X																
DC	Suzanne Rahall - First State Bank, WV - Savings Account			X												X						X										
DC	Suzanne Rahall - U.S. Senate Credit Union Savings Account		X													X						X										
DC	N.J. Rahall, III - U.S. Senate Credit Union Savings Account		X													X						X										
DC	N.J. Rahall, III - Nations Bank Checking Account			X																	X											
	One Valley Bank, Oak Hill, WV - Checking Account			X												X						X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	.1712% Interest Qualified Housing Partners Limited Partnership			X																Partnership	X											
	.0396% Interest Scottsdale Land Trust L.P.			X																Partnership					X							
	3.88% Interest Oxford - Columbia Associates L.P.			X																Partnership					X							
	5.38% Interest SNI Development Company Partnership				X															Partnership						X						
	2.80% Interest Cambridge Heights Apartments Partnership			X																Partnership	X											
	5.38% Interest JVL Limited Partnership			X																Partnership	X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	.0064493 Interest SB Partners Limited Partnership			X																Partnership			X									
	Wheat First Securities SEP IRA - Attachment 19					X								X		X	X															Attach. 19
	.2808853 Interest Chesapeake L.P.				X															Partnership				X								
	Ballston Bancorp, Inc. (Bank of Northern VA) Stock			X										X							X											
	.0774% Portfolio Strategy Fund Partnership						X													Partnership					X							P Attach. 31
	Dean Witter Reynolds Account #642 115916 Attachment 14 and 15			X										X		X	X						X									Attach. 31

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SCHEDULE IV — TRANSACTIONS

Name Nick Joe Rahall, II

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Wheat First Securities Account - Attachment 20	X	X							X					
	.0774% Portfolio Strategy Fund Partnership	X			08/13/97			X							
	Dean Witter Reynolds Access #1 Acct. Attachment 21	X	X							X					
	Dean Witter Reynolds Access #2 Acct. Attachment 22	X	X					X							
	Dean Witter Reynolds Access #3 Acct. Attachment 23	X	X						X						
	D H Blair & Co. Inc. Account - Attachment 24	X	X				X								
	Smith Barney U.S. Gov't Securities Port.		X		01/07/97	X									

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SCHEDULE IV — TRANSACTIONS

Name: Nick Joe Rahall, II

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Hanifen, Imhoff Clearing Corp. Acct. Attachment 25		X		04/23/97	X									
	Flat Top Lake Land, Raleigh Co., WV		X		10/13/97			X							
DC	Rebecca Rahall - Wheat First Securities Acct. Attachment 26	X	X							X					
	Dean Witter Acct. 642 115916 - Health and Retirement PPTY Trust	X			03/19/97	X									
	Dean Witter Acct. 642 115916 - Health and Retirement PPTY Trust		X		06/13/97	X									
DC	N.J. Rahall, III - Wheat First Securities Acct. - Attachment 27	X	X					X							

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
DC	N.J. Rahall, III - Smith Barney Acct.		X			X									
	Attachment 28														
DC	Suzanne Rahall - Wheat First Securities Acct.	X	X						X						
	Attachment 29														
	Dean Witter Reynolds IRA Acct. - Attachment 30	X	X						X						
JT	Glade Springs 1/5 Raleigh Co., WV Land		X		12/31/97	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	MBNA America (Acct. 749 94412)	Cash Advances & Credit Charges		X								
	Citibank Mastercard	Cash Advances & Credit Charges		X								
	MBNA America (Acct. 4264 2904)	Cash Advances & Credit Charges		X								
	Corestates	Cash Advances & Credit Charges	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Boycroft Corporation	Aug. 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Laborers-Employers Cooperation & Education Trust	Feb. 2-4	Wash.,D.C.-Lake Buena Vista FL-Wash., D.C.	Y	Y	N	N
	National Motor Freight Traffic Association	Feb. 7-10	Wash.,D.C.-Palm Springs, CA Wash.,D.C.	Y	Y	N	N
	ISTED	Feb. 15-22	Wash.,D.C.-Paris, France-Wash.,D.C.	Y	Y	N	2 Days
	NAAA Foundation	Mar. 22-April 6	Wash.,D.C.-Qatar, UAE, Lebanon & Syria-Wash.,D.C.	N	N	N	11 Days
	ALSAC St. Jude Children's Research Hospital	May 27-28	Wash.,D.C.-Memphis, TN-Wash., D.C.	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
President	WTNJ WV Broadcasting Corporation
Vice President & Secretary	H. L. & R. Corporation
Vice President & Secretary	E G R Industries, Inc.
Member	Professional Advisory Board of ALSAC/ St. Jude's Children's Research Hospital
Member	American Task Force for Lebanon Board of Directors

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

Butcher Singer
Serving Investors Since 1934

[redacted]

Duplicate For The Account Of:
NICK JOE RAHALL II

Capital Resource Account

Mail To:
JAMES T SHEPHERD CPA
19-F MALLARD COURT
BECKLEY WV 25801-3615

Account Number
BK08 6539-9650

December 1, 1997 - December 31, 1997
Page 1 of 3

Investment Objective
TRADING, SPECULATION
OR HIGH INCOME

Your Financial Consultant
EDWARD G RAHALL

122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

304-252-6221

Tax I.D. No.
236-78-8645

IF YOU ARE ELIGIBLE, YOU MAY BENEFIT FROM MAKING A $2,000 1998 ROTH IRA CONTRIBUTION. YOU MAY ALSO BENEFIT FROM CONVERTING YOUR EXISTING TRADITIONAL IRA INTO A ROTH IRA. READ INVESTOR'S SPECTRUM TO LEARN MORE--THEN TALK WITH YOUR FINANCIAL CONSULTANT.

Portfolio Summary

COMPOSITION	ENDING BALANCE MARKET VALUE	PERCENT OF PORTFOLIO
CASH AND MONEY MARKET	460,066.25	72.5
BONDS	146,934.35	23.2
STOCKS	27,341.38	4.3
TOTAL ESTIMATED PORTFOLIO VALUE	634,341.98	100.0

Income Summary

DESCRIPTION	THIS PERIOD	YEAR TO DATE
MONEY MARKET FUND DIVIDENDS	2,560.91	20,976.59
CASH DIVIDENDS	.00	38.00
TAX EXEMPT INTEREST	.00	3,125.00
TOTAL INCOME	2,560.91	24,139.59

Current Portfolio

TYPE/DESCRIPTION	SYMBOL	QUANTITY	CURRENT PRICE	ESTIMATED VALUE	ESTIMATED ANNUAL INCOME	CURRENT YIELD
Cash and Money Market						
CASH		12,260.28		12,260.28	0	0.0
MONEY MARKET FUND (CRM)		447,805.97	1.0000	447,805.97	21,315	4.7
4.76% AVERAGE YIELD 11/18/97-12/31/97						
TOTAL CASH AND MONEY MARKET				460,066.25	21,315	N/A

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Wheat First Butcher Singer is a trademark of Wheat First Securities Inc. Member New York Stock Exchange and Securities Investor Protection Corporation.

Wheat First Butcher Singer
Serving Investors Since 1934

Client Statement

Duplicate For The Account Of:
NICK JOE RAHALL II

Account Number
BK08 6539-9650

December 1, 1997 - December 31, 1997
Page 2 of 3

Current Portfolio — continued

TYPE/DESCRIPTION	SYMBOL	QUANTITY	CURRENT PRICE	ESTIMATED VALUE	ESTIMATED ANNUAL INCOME	CURRENT YIELD
Bonds						
NC EDUC FACS FIN AGY DUKE UNIV PROJ REV 88A OY-6.9% NO PER INTEREST CPN 0.000% DUE 10/01/00 DTD 3/02/88 CALL 10/01/98 @ 91.677		30,000	88.9260	26,677.80	0	0.0
BERKELEY CNTY W VA BLDG COMM HOSP REV CITY HOSP PROJ RFDG OY=6.1% CPN 6.000% DUE 11/01/01 DTD 9/15/92 FC 5/01/93 ACCRUED INT 250.00		25,000	105.6570	26,414.25	1,500	5.6
WEST VA PARKWAYS, ECON DEV & TOURISM AUTH PKWY REV SER 1989 OY-7.15% CPN 0.000% DUE 07/01/04 DTD 11/07/89		15,000	75.1590	11,273.85	0	0.0
TAMPA FLA WTR & SWR REV CPN 0.000% DUE 10/01/05 DTD 5/01/82		30,000	73.9480	22,184.40	0	0.0
RICHLAND CNTY SC HOSP FACS RFDG SC BAPTIST HOSP SER B OY=7.25% CPN 0.000% DUE 08/01/12 DTD 7/10/91 FC 8/01/12		15,000	48.1770	7,226.55	0	0.0
WEST VA ECON DEV AUTH RESIDNTL CARE FAC REV BD (EDGEWOOD SUMMIT) SER 93 CPN 6.500% DUE 11/01/13 DTD 10/15/93 FC 5/01/94 CALL 11/01/03 @ 102.000 ACCRUED INT 270.75		25,000	99.8810	24,970.25	1,625	6.5
KANAWHA PUTNAM CNTY HUNTINGTON CHARLESTON WV S/F MTG 84A OY=11.5% CPN 0.000% DUE 12/01/16 DTD 9/19/84		75,000	37.5830	28,187.25	0	0.0
$520 IS THE TOTAL ESTIMATED ACCRUED INTEREST AS DETAILED ABOVE.						
TOTAL BONDS				146,934.35	3,125	2.1
Stocks						
CHESAPEAKE L P (A MANAGED FUTURES FUND)		251.7623	108.6000	27,341.38	0	0.0
TOTAL STOCKS				27,341.38	0	0.0

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--CONTINUED ON NEXT PAGE--

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

REP ACCOUNT	PAGE
BK08 6539-9650	1 OF 6
TAXPAYER ID: 236-78-8645	

FOR QUESTIONS CALL:
(304)252-6221
EDWARD G RAHALL
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II
216 1/2 MAIN ST
BECKLEY WV 25801-4613

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

ISSUE DATE:02/11/98

DIVIDENDS AND DISTRIBUTIONS

DESCRIPTION			ACTIVITY	AMOUNT	IRS BOX	COUNTRY
CRT MONEY MARKET	*	(1)	DIVIDEND	$21,872.58	1B	
FLUOR CORP			DIVIDEND	$38.00	1B	
TOTAL DIVIDENDS				$21,910.58		

IRS BOX	1099-DIV -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-DIV, OMB NO. 1545-0110	
1A.	GROSS DIVIDENDS ON STOCK (TOTAL OF 1B, 1C, 1D & 1E)	$21,910.58
1B.	ORDINARY DIVIDENDS	$21,910.58
1C.	CAPITAL GAIN DISTRIBUTIONS	$0.00
1D.	NONTAXABLE DISTRIBUTIONS	$0.00
1E.	INVESTMENT EXPENSES	$0.00
2.	FEDERAL INCOME TAX WITHHELD	$0.00
3.	FOREIGN TAX PAID	$0.00
5.	LIQUIDATION DISTRIBUTIONS	$0.00

(1) [redacted]

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SMITH BARNEY

A Member of TravelersGroup

Ref 00002748 00064411

Select Client Statement
1997 Year End Summary

CONGRESSMAN NICK JOE RAHALL II

Account Number 685-03503-12 291 SS # 236-78-8645

Details of 1099 Reported Dividends and Distributions 1997

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for gross dividends include dividend reinvestments, money fund earnings, and accrued dividends received

Reference number	Description	Gross dividends and other distributions on stock (Box 1a) (Total of boxes 1b 1c, 1d and 1e)	Ordinary dividends (Box 1b)	Long - Term Capital gain distributions (Box 1c)	Nontaxable distributions (Box 1d)	Investment expenses (Box 1e)	Federal income tax withheld (Box 2)	Foreign tax paid (Box 3)	Liquidation distributions-cash/non-cash (Boxes 5 & 6)
150000100	AT&T CORP	$ 677.10	$ 677 10						
150000200	AMERICAN EXPRESS CO	1,080 00	1,080 00						
150000300	BRISTOL MYERS SQUIBB CO	1,216 00	1,216 00						
150000400	COCA COLA CO	560 00	560 00						
150000500	EASTMAN KODAK CO	1,032 00	1,032 00						
150000600	FEDERAL HOME LN MTG CORP	800 00	800 00						
150000700	FORD MOTOR CO	658 00	658 00						
150000800	HOME DEPOT INC	285 00	285 00						
150000900	HOUSEHOLD INTERNATIONAL INC	1,431 00	1,431 00						
150001000	LEUCADIA NATIONAL CORP	250 00	250 00						
150001100	LUCENT TECHNOLOGIES INC	49 80	49 80						
150001200	MCDONALDS CORP	387 00	387 00						
150001300	MERCK & CO INC	1,183 00	1,183 00						
150001400	MINNESOTA MINING & MFG CO	1,272 00	1,272 00						
150001500	TIME WARNER HOLDINGS CO	360 00	360 00						
150001600	WAL-MART STORES INC	612 00	612.00						
150001700	WM WRIGLEY JR CO	585 00	585 00						
Totals in Boxes 1a-1e		$ 12,437 90	$ 12,437 90						

1997 YEAR END SUMMARY

3099

SALOMON SMITH BARNEY

Ref 00005570 0002G411

A Member of TravelersGroup

Select Client Statement

December 1 - December 31, 1997

685L972910350300000557 0IP 297365A001 IPFOL014A
CONGRESSMAN NICK JOE RAHALL II
2269 RAYBURN BUILDING
WASHINGTON DC 20515-0534

Your Broker/Dealer is
SMITH BARNEY INC
Your Financial Consultant
JAMES A JOSEPH/PETER JOSEPH
701 MAIN STREET
SUITE 100
STROUDSBURG PA 18360
717-421-3100

Select Service Center 1-800-423-7248
Branch 800-445-2291

Account number 685-03503-12 291

Copies of this statement have also been sent to
ALAN BLAKE
CONGRESSMAN NICK JOE RAHALL II

Copy for the account of CONGRESSMAN NICK JOE RAHALL II SAM ACCOUNT
210 1/2 MAIN STREET BECKLEY WV

Account value

	Last period	This period	%
Cash balance	$ 0.00	$ 460.00	.04
Money funds	15,432.83	15,342.25	1.31
Accrued money fund dividends	18.51	0.00	
Common stocks & options	1,113,369.36	1,150,921.63	98.05
Direct investments		(see Portfolio details)	
Net value	$ 1,128,820.70	$ 1,166,713.88	100

Earnings summary

	This period	This year Taxable	This year Non-taxable
Dividends	$ 1,567.45	$ 12,437.90	$ 0.00
Money funds earnings	63.18	0.00	387.58
Total	$ 1,630.63	$ 12,437.90	$ 387.58

Additional summary information

	This period	This year
Other income	$ 0.00	$ 0,501.40

Gain/loss summary

	This period	This year
Unrealized gain or (loss)	$ 712,616.52	Not applicable

3100

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SALOMON SMITH BARNEY

Ref: 00005570 00026412

A Member of TravelersGroup

Select Client Statement

December 1 - December 31, 1997

CONGRESSMAN NICK JOE RAHALL II

Account number 685-03503-12 201

Cash and money funds balance

	This period	This year
Opening balance	$ 16,432 83	
Withdrawals	-1,271 21	-34,885 36
Dividends credited	1,567 45	
Money funds earnings reinvested	03 18	
Closing balance	$ 16,702 25	

Portfolio summary

	This period	Year-to-date
Opening value of securities	1,128,820 70	878,765.81
+ Opening cash balance	0 00	425 00
= Opening portfolio balance	1,128,820 70	879,190.01
Securities deposited/withdrawn net	0 00	0.00
Capital deposited/withdrawn net	-1,271 21	-34,885 36
Adjusted opening value	1,127,549 49	844,305 25
Closing value of securities	1,166,263 88	1,166,263.88
+ Closing cash balance	450 00	450 00
= Closing portfolio value	1,160,713 88	1,166,713 88

Note Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section

Capital deposited/withdrawn net = Cash withdrawals and deposits, Gold Card payments, FMA Money Card activity, checks written, and Money funds/insured cash deposit transfers

Portfolio details

The values of your holdings are as of 12/31/97. Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated Income (annualized)
16,342 25	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	$ 16,342 25		3.26 % $ 500.16
Total money funds		$ 16,342.25	$ 0 00	3.26 $ 500.16

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
13	AT&T CORP SYMBOL: T/RATING: B+	02/03/87	$ 578 08	$ 44.467	$ 61 313	$ 797 07	$ 218 99//	LT	
500		02/03/95	17,512.62	35 025	61 313	30,656.50	13,143.88	LT	
513			18,090 70	35 265		31,453 57	13,362 87		2.162 877.18
1,200	AMERICAN EXPRESS CO SYMBOL: AXP/RATING: B+	03/13/85	40,054 98	33 018	89 25	107,100 00	67,045 02	LT	1.008 1,080.00

3101

SALOMON SMITH BARNEY

Select Client Statement
December 1 - December 31, 1997

Ref: 00005570 00020413 A Member of TravelersGroup

CONGRESSMAN NICK JOE RAHALL II Account number 685-03503-12 291

Common stocks & options continued

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
400	AMGEN INC SYMBOL: AMGN/RATING: B	02/08/90	$ 1,810.67	$ 4.541	$ 54.125	$ 21,650.00	$ 19,833.33	LT	
1,000		06/14/90	6,333.33	6.333	54.125	54,125.00	47,791.67	LT	
1,400			8,150.00	5.821		75,775.00	67,625.00		
800	BRISTOL MYERS SQUIBB CO SYMBOL: BMY/RATING: A	07/12/83	8,189.48	10.09	94.625	75,700.00	67,510.52//	LT	1.648 1,248.00
1,000	COCA-COLA CO SYMBOL: KO/RATING: A+	12/28/93	22,644.76	22.257	66.688	66,688.00	44,143.25	LT	.838 560.00
600	EASTMAN KODAK CO SYMBOL: EK/RATING: B	08/26/93	20,748.05	49.581	60.563	36,337.80	8,589.15	LT	2.900 1,060.00
2,000	FEDERAL HOME LN MTG CORP SYMBOL: FRE	11/23/94	24,303.54	12.031	41.938	83,876.00	59,512.46	LT	.953 800.00
400	FORD MOTOR CO SYMBOL: F/RATING: B-	09/30/93	11,149.07	27.50	48.563	19,425.20	8,276.23	LT	3.469 672.00
1,600	HOME DEPOT INC SYMBOL: HD/RATING: A+	01/05/94	40,000.00	28.666	58.875	88,312.50	48,312.50	LT	.339 300.00
900	HOUSEHOLD INTERNATIONAL INC SYMBOL: HI/RATING: B+	02/03/95	37,406.84	41.115	127.625	114,862.50	77,455.66	LT	1.316 1,512.00
1,000	LEUCADIA NATIONAL CORP SYMBOL: LUK/RATING: B	06/01/95	23,924.87	23.625	34.50	34,500.00	10,575.13	LT	.724 250.00
13	LIN TELEVISION CORP SYMBOL: LNTV	02/03/87	63.85	4.919	54.50	708.50	644.65//	LT	
4.2060	LUCENT TECHNOLOGIES INC SYMBOL: LU	02/03/87	235.04	56.016	79.875	336.00	100.96//	LT	
161.7934		02/03/95	7,138.47	44.12	79.875	12,923.25	5,784.78	LT	
166			7,374.11	44.422		13,259.25	5,885.14		.376 49.80
1,200	MCDONALDS CORP SYMBOL: MCD/RATING: A+	08/22/84	32,046.24	26.375	47.75	57,300.00	25,253.76	LT	.691 396.00

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SALOMON SMITH BARNEY

A Member of TravelersGroup

Ref 00005570 0002G414

Select Client Statement

December 1 - December 31, 1997

CONGRESSMAN NICK JOE RAHALL II

Account number 685-03503-12 281

Common stocks & options | continued

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
700	MERCK & CO INC SYMBOL: MRK/RATING: A+	12/23/86	$ 9,308 93	$ 13 22	$ 106 00	$ 74,200 00	$ 64,891 07//	LT	1 698 % $ 1,260.00
600	MINNESOTA MINING & MFG CO SYMBOL: MMM/RATING: A+	11/25/92	29,718 21	49 53	82 063	49,237 80	19,519 59	LT	2 583 1,272 00
8109	NCR CORP NEW SYMBOL: NCR	02/03/87	28 00	35 713	27 813	22 55	(0.35)//	LT	
31 1891		02/03/95	875 46	28 124	27 813	867.46	(8 02)	LT	
32			904 38	28 262		890 01	(14 37)		
1,000	TIME WARNER HOLDINGS CO SYMBOL TWX/RATING: B-	01/18/93	32,783 72	32 394	62 00	62,000 00	29,216 28	LT	.58 360 00
600	VIACOM INC CL B SYMBOL: VIAB/RATING B-	08/30/95	29,372 31	48 375	41 438	24,862 80	(4,509 51)	LT	
2,400	WAL-MART STORES INC SYMBOL: WMT/RATING: A+	01/15/85	6,209 82	2 55	39 438	94,651 20	88,441 38//	LT	.684 648 00
600	WM WRIGLEY JR CO SYMBOL: WWY/RATING: A+	05/22/90	26,899 60	53 154	79.563	39,781.50	12,881 84	LT	.955 380.00
Total common stocks and options			$ 438,305.11			$ 1,160,921.83	$ 0.00	ST	1.08
							$ 0.00	MT	$ 12,520.98
							$ 712,616.62	LT	

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SALOMON SMITH BARNEY

A Member of TravelersGroup

Select Client Statement

December 1 - December 31, 1997

Ref 00005570 00026415

CONGRESSMAN NICK JOE RAHALL II

Account number 685-03503-12 291

Direct Investments

The following information, provided for your financial record keeping, will be shown throughout the life of the direct investment. The Original Purchase Amounts do not reflect current market value, or premiums/discounts on transferred units. Please note that direct investments are generally illiquid, are not currently priced, and are not included in your Net Value. For more information, please contact your Financial consultant.

Number of units	Description	Orig. purchase amount	Unit cost	Current unit price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
20	SCOTTSDALE LAND TRUST L.P. Purchase date 09/30/88	$ 20,000.00	$ 1,000.00	NOT PRICED	NOT PRICED			
Total direct investments		$ 20,000.00						
Total portfolio value		$ 470,647.30			$ 1,100,283.80	$ 0.00	ST	1.11
						$ 0.00	MT	$ 13,021.11
						$ 712,810.62	LT	

‖Based on information supplied by your Financial Consultant.

Transaction details

Withdrawals

Date	Description	Reference no.	Amount
12/19/97	INVESTMENT & ADVISORY SERVICES FROM 12/01/97 TO 02/28/98		$ 1,271.21

Money funds activity

Opening money funds balance $ 15,432.83

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
12/02/97	AutoInvest	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	180.45
12/15/97	AutoInvest	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	417.00
12/16/97	AutoInvest	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	445.00
12/19/97	AutoInvest	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	75.00
12/19/97	Redemption	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	-1,271.21
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	63.18
		Closing balance	$ 15,342.25

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

Your Account Executive
MR PEAR/MR HANDO
DEAN WITTER REYNOLDS INC
1775 EYE STREET, NW SUITE 200
WASHINGTON, DC 20006
(202) 862-9000

Account Number AE
642 108600 022

AAA Customer Service
1-800-869-DEAN

NICK JOE RAHALL II 000395
ACCESS #1-NICHOLAS APPLEGATE
1301 DELAWARE AVE SW
APT #409N
WASHINGTON DC 20024 3913

Asset Summary (Year End)

	Value	Percent of assets
Money Market Funds	$6,532.38	7.1%
Stocks	85,286.35	92.9
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$91,818.73	100.0%
Cash	25.95	
Total Asset Value	$91,844.68	

Income Summary for 1997

Money Market Funds	$255.48
Stocks	964.49
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	0.00
Total Income	$1,219.97
Taxable Income	$1,219.97
Tax Exempt Income	$0.00

Activity Summary for 1997

Total Asset Value as of January 01 1997		$117,368.95
Summary of Activity Categories for 1997		
Income	$1,219.97	
Deposits	0.00	
Assets Sold	182,274.97	
Other	-7,069.54	
Checking	0.00	
Visa	0.00	
Withdrawals	-37,500.00	
Assets Bought	-136,252.47	
Changes In Asset Value for 1997		
Value of Priced Assets as of 1/1/97	$111,742.39	
Assets Bought	136,252.47	
Assets Received	0.00	
Assets Sold	-182,274.97	
Assets Delivered	0.00	
Change In Value of Priced Assets	19,566.46	
Value of Priced Assets as of 12/31/97	85,286.35	
Net Change In Asset Value		-26,456.04
Total Asset Value as of December 31 1997		$91,844.68

The Active Assets Account provides up to $50 million in securities protection, $500,000 in coverage through the Securities Investor Protection Corp., and $49.5 million through independent third party coverage purchased by Dean Witter.

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number AE
042 100600 022

YEAR END ASSETS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	25.95	---	---
ACTIVE ASSETS MONEY TRUST	6,532.38	7.1%	347
Total Cash and Money Market Funds	$6,558.33	7.1%	$347

Annualized 30 Day Yields	
Active Assets Money Trust	5.32%
Active Assets Govt. Sec. Tr.	4.98%
Active Assets California Tax Free	2.97%
Active Assets Tax Free Trust	3.21%
Dean Witter Insured Account	4.88%
Active Assets Deposit Account	4.88%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
8	AKZO NOBEL NV ADR	86 7/8	695.00	0.8%	13	1.95%	AKZOY	Next Dividend Payable 05/98
7	AHVESCAP PLC ADR	86 1/4	603.75	0.7%	7	1.24%	AVZ	Next Dividend Payable 00/00
31	AXA-UAP	39	1,209.00	1.4%	17	1.42%	AXA	Next Dividend Payable 00/00
38	BAAN COMPANY NV	33	1,254.00	1.4%	0	0.00%	BAANF	
20	BANK OF IRELAND GRP	62	1,240.00	1.4%	23	1.89%	IRE	Next Dividend Payable 01/22/98
6	BARCLAYS PLC ADR	109 3/16	655.12	0.8%	13	2.11%	BCS	Next Dividend Payable 04/98
10	BAYERISCHE VEREINSBANK AG ADR	65 3/8	653.75	0.8%	6	1.01%	BAVNY	Next Dividend Payable 00/00
33	BED BATH & BEYOND INC	38 1/2	1,270.50	1.4%	0	0.00%	BBBY	
39	BELL CANADA INTL INC	15 1/4	594.75	0.7%	0	0.00%	BCICF	
19	BENCKISER NV CLASS B	41 1/8	781.37	0.9%	0	0.00%	BNV	
15	BHC SOFTWARE	65 5/8	984.37	1.1%	0	0.00%	BHCS	
5	BRIDGESTONE CP ADR	217 5/8	1,088.12	1.2%	4	.41%	BRDCY	Next Dividend Payable 04/15/98
8	BRITISH PETROLEUM PLC ADR	79 11/16	637.50	0.7%	18	2.95%	BP	Next Dividend Payable 02/02/98
332	CIFRA UNSPONSORED V ADR	2 1/4	747.00	0.9%	36	4.93%	CFRAY	Next Dividend Payable 00/00
11	COCA COLA FEMSA S A ADR	58	638.00	0.7%	4	.67%	KOF	Next Dividend Payable 00/00
38	COFLEXIP SPONSORED ADR	55 1/2	2,109.00	2.3%	2	.13%	CXIPY	Next Dividend Payable 00/00
31	COGNEX CORP	27 1/4	844.75	1.0%	0	0.00%	CGNX	
42	COLT TELECOM GROUP PLC ADR	42 5/8	1,790.25	2.0%	0	0.00%	COLTY	
16	COM ANONIMA NATL TELE DE VEN	41 5/8	666.00	0.7%	3	.45%	VNT	Next Dividend Payable 00/00
23	COMPAGIE GENERALE DE GEO	25 5/8	589.37	0.6%	0	0.00%	GGY	
24	COMPUWARE CORP	32	768.00	0.8%	0	0.00%	CPWR	
24	CONTINENTIAL ALNS INC CL B	48 1/8	1,155.00	1.3%	0	0.00%	CAIB	
17	COOPER CAMERON CORP	61	1,037.00	1.1%	0	0.00%	RON	
104	CORE LABORATORIES N V	18 1/16	1,878.50	2.0%	0	0.00%	CRLBF	
82	DARDEN RESTAURANTS	12 1/2	1,025.00	1.1%	6	.64%	DRI	Next Dividend Payable 05/98
34	DASSAULT SYSTEMS SA ADS	30 7/8	1,049.75	1.1%	3	.34%	DASTY	Next Dividend Payable 00/00
11	DEUTSCHE BANK AG SP ADR	70 5/8	776.87	0.8%	8	1.06%	DTBKY	Next Dividend Payable 06/98
50	DEUTSCHE LUFTHANSA AG ADR	19 1/8	956.25	1.0%	3	.36%	DLAGY	Next Dividend Payable 07/98
10	DEXTER CORP	43 3/16	431.87	0.5%	9	2.22%	DEX	Next Dividend Payable 01/09/98
34	DISTRIBUCION Y SERV D&S SA ADS	18 9/16	631.12	0.7%	0	0.00%	DYS	
30	DOLLAR GENERAL CORPORATION	36 1/4	1,087.50	1.2%	4	.44%	DG	Next Dividend Payable 03/98
17	ELF AQUITAINE SPON ADR	58 5/8	996.62	1.1%	17	1.73%	ELF	Next Dividend Payable 07/98
20	ERICSSON LM TEL ADR B SEK 10	37 5/16	746.25	0.8%	4	.65%	ERICY	Next Dividend Payable 05/98

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 042 108000 AE 022

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
99	FIRST SOUTH AFRICA CORP LTD	6 5/16	624.93	0.7%	0	0.00%	FSACF	
20	FIRSTPLUS FINANCIAL GROUP INC	38 3/8	767.50	0.8%	0	0.00%	FPFG	
23	FUJI PHOTO ADR NEW	38 3/16	878.31	1.0%	3	.35%	FUJIY	Next Dividend Payable 06/98
12	GENCORP INC	25	300.00	0.3%	7	2.40%	GY	Next Dividend Payable 02/98
39	GENSET ADR	19 3/4	770.25	0.8%	0	0.00%	GENXY	
46	GETTY COMMUNICATIONS PLC ADR	14 7/8	684.25	0.7%	0	0.00%	GETTY	
8	GILAT SATELLITE NTWK LTD ORD	28 5/8	229.00	0.2%	0	0.00%	GILTF	
15	GLAXO WELLCOME PLC ADS	47 7/8	718.12	0.8%	17	2.37%	GLX	Next Dividend Payable 00/00
35	GLOBAL MARINE INC NEW	24 9/16	859.68	0.9%	0	0.00%	GLM	
29	GROUPE DANONE SPONSORED ADR	35 3/4	1,036.75	1.1%	12	1.23%	DA	Next Dividend Payable 06/98
31	HBO & CO	48	1,488.00	1.6%	2	.16%	HBOC	Next Dividend Payable 01/21/98
12	HEALTH MGMT ASSOC CL A	25 1/4	303.00	0.3%	0	0.00%	HMA	
13	HELMERICHPAYNE INC	67 7/8	882.37	1.0%	7	.82%	HP	Next Dividend Payable 03/98
18	HONDA MOTOR COMPANY LTD ADR	73 7/8	1,329.75	1.4%	4	.31%	HMC	Next Dividend Payable 06/98
29	HUTCHISON WHAMPOA ADR	31 1/4	906.25	1.0%	27	3.08%	HUWHY	Next Dividend Payable 05/98
15	JONES APPAREL GRP INC	43	645.00	0.7%	0	0.00%	JNY	
27	K L M ROYAL DUTCH AIRLINES	37 3/4	1,019.25	1.1%	10	1.06%	KLM	Next Dividend Payable 00/00
48	KAUFMAN & BROAD HOME CP	22 7/16	1,077.00	1.2%	14	1.33%	KBH	Next Dividend Payable 02/98
165	LADBROKE GROUP PLC ADR	4 11/32	716.71	0.8%	15	2.21%	LADGY	Next Dividend Payable 06/98
22	LEGATO SYSTEMS INC	44	968.00	1.1%	0	0.00%	LGTO	
25	MAGYAR TAVKOZLESIRT	26	650.00	0.7%	0	0.00%	MTA	
39	METTLER TOLEDO INTL	17 1/4	672.75	0.7%	0	0.00%	MTD	
82	MINEBEA LTD SPONS ADR	21 1/2	1,763.00	1.9%	19	1.10%	MNBEY	Next Dividend Payable 00/00
5	NATL WESTMINSTER BK PLC ADR	100	500.00	0.5%	15	3.10%	NW	Next Dividend Payable 04/98
10	NESTLE SPON ADR REP REG SHR	75	750.00	0.8%	8	1.17%	NSRGY	Next Dividend Payable 06/98
29	NEWS CP LTD ADR NEW	22 5/16	647.06	0.7%	2	.33%	NWS	Next Dividend Payable 04/98
61	NINTENDO CO LTD ADR NEW	12 1/4	747.25	0.8%	4	.62%	NTDOY	Next Dividend Payable 06/98
37	NO FORK BANCORP	33 3/4	1,248.75	1.4%	22	1.77%	NFB	Next Dividend Payable 02/98
8	NOKIA CP ADR	69 1/2	556.00	0.6%	4	.83%	NOKA	Next Dividend Payable 04/98
15	NORTHERN TELECOM LTD	88 3/4	1,331.25	1.4%	9	.67%	NT	Next Dividend Payable 03/98
10	NOVARTIS AG ADR	81 1/8	811.25	0.9%	5	.71%	NVTSY	Next Dividend Payable 05/98
13	NOVEL DENIM HOLDINGS LTD	20	260.00	0.3%	0	0.00%	NVLDF	
15	OMNICOM GROUP	42 3/8	635.62	0.7%	7	1.17%	OMC	Next Dividend Payable 01/05/98
15	OMNICOM GROUP	42 3/8	635.62	0.7%	7	1.17%	OMC	Pending Stock Distribution
54	PEREZ COMPANC SA SPS ADR	14 1/4	769.50	0.8%	19	2.51%	CNPZY	Next Dividend Payable 00/00
24	PETROLIUM GEO SVCES A/S ADS	64 3/4	1,554.00	1.7%	0	0.00%	PGO	
15	PHILIPS ELECTR NV (HOLDING CO)	60 1/2	907.50	1.0%	10	1.19%	PHG	Next Dividend Payable 00/00
12	POLYGRAM NV	47 11/16	572.25	0.6%	5	.90%	PLG	Next Dividend Payable 04/98
20	PORTUGAL TELECOM S.A. ADS	47	940.00	1.0%	14	1.50%	PT	Next Dividend Payable 00/00
9	REUTERS HLDGS PLC ADR B	66 1/4	596.25	0.6%	11	1.87%	RTRSY	Next Dividend Payable 03/98
25	ROYAL DUTCH PETE NY 1.25 GU	54 3/16	1,354.68	1.5%	31	2.29%	RD	Next Dividend Payable 04/98
22	RHE AG SPONSORED ADR	53 5/8	1,179.75	1.3%	14	1.18%	RHEOY	Next Dividend Payable 12/98
28	RYANAIR HLDGS PLC ADR	25 1/8	703.50	0.8%	0	0.00%	RYAAY	
10	SAP AKRIEN SPN ADR	108 7/8	1,088.75	1.2%	3	.28%	SAPHY	Next Dividend Payable 00/00
28	SCI SYSTEMS INC	43 9/16	1,219.75	1.3%	0	0.00%	SCI	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number G42 108000 AE 022

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
10	SEVEN ELEVEN JAPAN CO LTD ADR	71	710.00	0.8%	2	.36%	SVELY	Next Dividend Payable 03/98
116	SIDERURGICA SPON ADR	4 1/8	478.50	0.5%	1	.36%	SVNZY	Next Dividend Payable 01/98
14	SONY CORP ADR 1974 NEW	90 3/4	1,270.50	1.4%	5	.42%	SNE	Next Dividend Payable 06/98
41	SOUTHCORP HOLDINGS LTD SPN ADR	16 1/2	676.50	0.7%	25	3.75%	STHHY	Next Dividend Payable 05/98
6	SYBRON INTL CP MISC	46 15/16	281.62	0.3%	0	0.00%	SYB	
13	TECHNOMATIX TECH LTD ORD	33 3/4	438.75	0.5%	0	0.00%	TCNOF	
19	TELE DENMARK A/S ADS	30 13/16	585.43	0.6%	18	3.12%	TLD	Next Dividend Payable 00/00
12	TELECOM ITALIA S.P.A	64	768.00	0.8%	6	.80%	TI	Next Dividend Payable 00/00
18	TEXAS INDUSTRIES	45	810.00	0.9%	5	.66%	TXI	Next Dividend Payable 01/26/98
28	TJX COS INC NEW	34 3/8	962.50	1.0%	5	.58%	TJX	Next Dividend Payable 02/98
80	TOMRA SYS A/S ADR NEW	22 3/8	1,790.00	1.9%	2	.13%	TMRAY	Next Dividend Payable 05/98
19	TRANSACTION SYS ARCH INC A	38	722.00	0.8%	0	0.00%	TSAI	
30	TUBOS DE ACERO NEW ADR	21 5/8	648.75	0.7%	0	0.00%	TAM	
10	UNIFI INC	40 11/16	406.87	0.4%	5	1.37%	UFI	Next Dividend Payable 02/98
22	UNILEVER PLC AMER SHARES	34 1/2	759.00	0.8%	8	1.14%	UL	Next Dividend Payable 06/98
20	UNION BK SWITZ SPS ADR	28 7/8	577.50	0.6%	7	1.29%	UBSUY	Next Dividend Payable 00/00
36	VIRGIN EXPRESS HLDG PLC SP ADR	20 3/4	747.00	0.8%	0	0.00%	VIRGY	
14	WEBSTER FINCL CORP	66 1/2	931.00	1.0%	11	1.20%	WBST	Next Dividend Payable 02/98
28	WESTPAC BANKING SPONS ADR	31 3/4	889.00	1.0%	38	4.28%	WBK	Next Dividend Payable 01/12/98
	Total Common Stocks		84,342.05	91.9%	694	.82%		
Preferred Stocks								
37	ELECTROBRAS ADR PRF	25 1/2	943.50	1.0%	36	3.82%	CAIGY	Next Dividend Payable 00/00
Total Stocks			85,286.35	92.9%	730	.85%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	91,844.68	$1,078.

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DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108000 AE 022

DETAIL OF DIVIDENDS AND DISTRIBUTIONS

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
ADITIDI PRICE INCORPORATED								
04/01/97	3.05	3.05						0.46
ADECCO SA SP ADR								
06/24/97	12.93	12.93						
A.L. PEPS TRUST $1.44 (PEPS)								
05/15/97	12.60	12.60						
08/15/97	12.60	12.60						
AKZO NOBEL NV ADR								
11/24/97	5.04	5.04						0.76
AXA ADS								
06/05/97	19.47	19.47						
BANCO CENTRAL HISPANOAMER ADR								
04/21/97	17.35	17.35						3.47
BANK OF IRELAND GRP								
07/21/97	17.79	17.79						
BASF AG NEW ADR								
06/06/97	38.60	38.60						9.65
BRIDGESTONE CP ADR								
04/14/97	2.49	2.49						0.37
09/17/97	2.76	2.76						0.41
BRITISH AIRWAYS FINL INST ADR								
02/06/97	15.27	15.27						2.29
08/07/97	39.59	39.59						5.94
BTR PLC NEW ADR								
12/05/97	12.84	12.84						
CANON INC ADR NEW								
04/09/97	5.13	5.13						0.77
10/02/97	1.24	1.24						0.19
CARADON PLC ADR OLD								
06/17/97	17.16	17.16						
CORLEXIP SPONSORED ADR								
07/07/97	2.76	2.76						
COMAIR HOLDINGS								
02/13/97	3.24	3.24						
COMDISCO INC								
06/16/97	2.55	2.55						
09/02/97	1.55	1.55						

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DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108800 AE 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
COMDISCO INC								
12/08/97	1.55	1.55						
COMP DE TELE DE CHIL ADR NEW A								
02/21/97	2.83	2.83						
05/22/97	3.68	3.68						
COMPASS GROUP PLC ADR								
09/08/97	3.73	3.73						
CONSECO INC								
01/02/97	1.75	1.75						
04/01/97	0.97	0.97						
CONTL AG SPONS ADR								
06/12/97	14.83	14.83						3.71
CRH PLC ADR								
05/28/97	15.16	15.16						
DAI NIPPON PRTG LTD JAPAN ADR								
12/24/97	1.88	1.88						0.28
DAIMLERBENZ AKTIENGESELLSCHAFT								
06/04/97	7.53	7.53						
DEUTSCHE LUFTHANSA AG ADR								
07/13/97	10.36	10.36						
07/14/97	6.44	6.44						1.61
DOLLAR GENERAL CORPORATION								
06/10/97	2.20	2.20						
09/22/97	1.20	1.20						
12/15/97	1.20	1.20						
ELECTROBRAS ADR PRF								
09/24/97	8.99	8.99						
10/24/97	8.99	8.99						
11/26/97	8.99	8.99						
12/24/97	9.10	9.10						
FLEETWOOD ENTERPRISES								
02/12/97	6.08	6.08						
FUJI PHOTO ADR NEW								
07/15/97	2.80	2.80						0.42
12/26/97	1.71	1.71						0.26
FUJITSU LTD ADR NEW								
12/17/97	2.72	2.72						0.41
GENCORP INC								
11/28/97	5.40	5.40						

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DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108000 AE 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
GLAXO WELLCOME PLC ADS								
10/13/97	7.25	7.25						
GREEN TREE FINANCIAL CORP								
03/31/97	2.63	2.63						
06/30/97	2.63	2.63						
09/30/97	1.75	1.75						
12/31/97	1.75	1.75						
HOO & CO								
01/20/97	0.56	0.56						
04/22/97	0.36	0.36						
07/21/97	0.36	0.36						
10/22/97	0.62	0.62						
HELMERICH&PAYNE INC								
06/02/97	3.64	3.64						
09/02/97	2.34	2.34						
12/01/97	2.34	2.34						
HONDA MOTOR COMPANY LTD ADR								
07/08/97	3.76	3.76						0.56
12/17/97	1.39	1.39						0.21
HSBC HLDG PLC SPND ADR NEW								
05/07/97	52.58	52.58						7.89
HUTCHISON WHAMPOA ADR								
06/10/97	26.36	26.36						
11/03/97	8.35	8.35						
ING GROEP NV ADR								
05/23/97	28.24	28.24						4.24
09/16/97	13.00	13.00						1.95
KAUFMAN & BROAD HOME CP								
11/26/97	3.60	3.60						
LADBROKE GROUP PLC ADR								
06/18/97	24.20	24.20						
12/16/97	6.77	6.77						
NEC CORP ADR								
07/10/97	4.32	4.32						0.65
NINTENDO CO LTD ADR NEW								
07/17/97	7.46	7.46						
12/29/97	2.14	2.14						
NO FORK BANCORP								
05/15/97	7.75	7.75						

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DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number AE
042 108000 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
NO FORK BANCORP								
08/15/97	9.30	9.30						
11/14/97	5.55	5.55						
NOKIA CP ADR								
04/15/97	16.48	16.48						2.47
NORTHERN TELECOM LTD								
03/31/97	1.95	1.95						0.29
06/30/97	2.25	2.25						0.34
09/30/97	2.25	2.25						0.34
12/31/97	2.25	2.25						0.34
NOVARTIS AG ADR								
05/15/97	6.81	6.81						1.02
NOVO NORDISK A/S ADR								
05/07/97	4.26	4.26						0.64
NY TIMES CL A COMMON								
06/20/97	4.00	4.00						
OCE VAN DER GRITEN NV ADR								
06/04/97	15.14	15.14						2.27
OIL CO LUKOIL SPN ADR								
11/10/97	3.16	3.16						0.63
OMNICOM GROUP								
07/02/97	4.00	4.00						
10/09/97	3.75	3.75						
PANAMERICAN BEVERAGES CLASS A								
03/31/97	1.05	1.05						
06/30/97	1.05	1.05						
PEARSON PLC SP ADR								
06/16/97	11.49	11.49						
PEREZ COMPANC SA SPS ADR								
01/03/97	13.98	13.98						
04/30/97	1.95	1.95						
PORTUGAL TELECOM S.A. ADS								
05/09/97	14.18	14.18						
RELIANCE GROUP HOLDINGS INC								
10/01/97	5.20	5.20						
RICOH LTD ADR								
07/10/97	4.98	4.98						0.75
12/22/97	4.02	4.02						0.60
ROCHE HOLDINGS ADR								
06/04/97	4.16	4.16						0.62

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DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 042 108000 AE 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
ROLLS ROYCE PLC SPONS ADR								
01/17/97	8.42	8.42						1.26
ROYAL BANK OF CANADA								
02/24/97	4.35	4.35						0.65
05/23/97	4.33	4.33						0.65
ROYAL DUTCH PETE NY RG 5 GLDR								
06/03/97	32.65	32.65						4.90
ROYAL DUTCH PETE NY 1.25 GU								
10/01/97	16.18	16.18						2.43
RWE AG SPONSORED ADR								
12/22/97	14.03	14.03						
SAP AKRIEN SPN ADR								
05/19/97	6.30	6.30						
SCOIEDAD QUIMICA Y MINERA ADS								
05/16/97	5.50	5.50						
SEVEN ELEVEN JAPAN CO LTD ADR								
12/03/97	1.17	1.17						
SIDERURGICA SPON ADR								
10/23/97	0.44	0.44						
SONY CORP ADR 1974 NEW								
07/08/97	3.66	3.66						0.55
12/08/97	2.69	2.69						0.40
SUMITUMO BK LTD ADR								
12/24/97	3.02	3.02						0.45
TAIYO YUDEN CO LTD UNSP ADR								
07/16/97	2.51	2.51						
TDK CP ADR NEW								
07/08/97	7.01	7.01						1.05
12/17/97	2.51	2.51						0.38
TELE BRASILEIRAS SA SPND ADR								
07/08/97	1.09	1.09						0.16
07/09/97	11.58	11.58						
TELEFONICA DE ARGENTINA SA ADR								
01/03/97	6.68	6.68						
07/24/97	12.49	12.49						
TELEFONICA DE ESPANA SA ADR								
01/28/97	9.25	9.25						2.31
TELEFONOS DE MX SA DE CV ADR								
09/25/97	8.11	8.11						

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DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 042 108000 AE 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
TJX COS INC NEW								
08/28/97	1.40	1.40						
11/26/97	1.40	1.40						
TOHRA SYS A/S ADR NEW								
05/15/97	2.88	2.88						0.43
TOYOTA MOTOR CP ADR NEW								
07/14/97	4.49	4.49						0.67
UNIFI INC								
08/08/97	1.40	1.40						
11/14/97	1.40	1.40						
UNILEVER PLC AMER SHARES								
12/29/97	5.12	5.12						0.77
UTD ASSET MANAGEMENT								
01/15/97	8.16	8.16						
04/15/97	8.88	8.88						
VINA CONCHA Y TORO S.A. ADS								
01/07/97	1.25	1.25						
04/10/97	1.69	1.69						0.40
07/08/97	1.67	1.67						0.39
VOLKSWAGEN AG SPON ADR								
07/14/97	11.40	11.40						
WESTPAC BANKING SPONS ADR								
02/06/97	15.66	15.66						
Total	966.23	966.23	0.00	0.00	0.00	0.00	0.00	2.46
ACTIVE ASSETS MONEY TRUST								
1997	255.48	255.48						
Total	255.48	255.48	0.00	0.00	0.00	0.00	0.00	0.00

* *Report this amount on Schedule D (Form 1040), line 13, column (G)*
** *Report this amount on Schedule D (Form 1040), line 25.*

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DEAN WITTER REYNOLDS INC.

1099-OID DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108600 AE 022

DETAIL OF REPORTABLE ORIGINAL ISSUE DISCOUNT

Description	OID Interest	Other Periodic Interest	Federal Income Tax Withheld
Original Issue Discount			
A.A. PEPS TRUST #1.44 (PEPS)	3.11		
Subtotal	0.00	0.00	0.00
Total	3.11	0.00	0.00

DEAN WITTER REYNOLDS INC
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-100600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

NICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
SHORT-TERM GAIN/(LOSS) TRANSACTIONS								
0	COMP DE TELE DE CHIL ADR NEW A	1-03-97	.00	.00	1-03-97	.00	6.03	6.03
52	LA QUINTA INNS INC	7-18-96	22.06	1,147.02	1-03-97	18.31	952.21	(194.81)
11	WESTPAC BANKING SPONS ADR	11-01-96	28.25	310.75	1-03-97	28.37	312.11	1.36
13	WESTPAC BANKING SPONS ADR	11-11-96	28.25	367.25	1-03-97	28.37	368.86	1.61
38	FLEETWOOD ENTERPRISES	7-29-96	29.75	1,130.50	1-06-97	26.62	1,011.55	(118.95)
5	KOMATSU LTD ADR OLD	7-23-96	180.25	901.25	1-06-97	159.99	799.97	(101.28)
9	COGNOS INC	10-17-96	32.25	290.25	1-08-97	25.81	232.31	(57.94)
15	QIAGEN NV	7-15-96	15.72	235.80	1-09-97	27.56	413.33	177.53
10	GUCCI GROUP NV	3-07-96	45.77	457.69	1-09-97	67.12	671.22	213.53
40	TELEDATA COMMUNICATIONS ORD	3-08-96	9.04	361.60	1-14-97	27.25	1,090.05	728.37
20	GRUPO IND MASECA SA DE CV ADS	1-24-96	11.63	232.50	1-20-97	19.87	397.48	164.98
25	NICE SYSTEMS LTD ADR	2-08-96	10.38	259.37	1-20-97	22.12	553.11	293.74
25	NOBLE DRILLING	9-04-96	14.94	373.43	1-29-97	22.62	565.61	192.18
20	TOMRA SYS A/S ADR NEW	4-18-96	9.00	180.00	1-20-97	18.50	369.98	189.98
20	TUBOS DE ACERO NEW ADR	6-27-96	9.30	186.06	1-20-97	17.25	344.98	158.92
20	WESTERN DIGITAL CORPORATION	5-20-96	26.74	534.88	1-20-97	69.75	1,394.95	860.07
62	AMWAY JPN LTD SPON ADR	3-07-96	22.57	1,399.34	1-21-97	15.57	965.16	(434.18)
40	ROLLS ROYCE PLC SPONS ADR	9-06-96	19.50	780.00	1-21-97	19.62	784.98	4.98
32	SGL CARBON ADR	6-06-96	37.02	1,184.48	1-21-97	39.67	1,269.52	85.04
8	SHARP CORPORATION A D R	7-30-96	161.00	1,288.00	1-21-97	119.25	953.96	(334.04)
17	QUINTILES TRANSNATIONAL	5-22-96	79.04	1,343.70	1-22-97	76.10	1,293.67	(50.03)
31	ABACAN RESOURCE CORP	5-07-96	5.37	166.62	1-24-97	10.41	322.66	156.04
5	TELECOM CP NZ LTD ADS	10-23-96	83.31	416.57	1-27-97	81.84	409.20	(7.37)
10	DRECO ENERGY SVC A	12-11-96	42.25	422.50	1-29-97	38.97	389.75	(32.75)
19	DRECO ENERGY SVC A	11-21-96	36.50	693.50	1-29-97	38.97	740.52	47.02

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DWR (ACCE) (05-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 0117

DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-100600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

ICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
HORT-TERM GAIN/(LOSS) TRANSACTIONS								
28	KINGFISHER PLC SPN ADR	8-16-96	20.25	567.00	1-30-97	21.56	603.56	36.56
19	TELEFONOS DE MX SA DE CV ADR	1-10-97	37.00	703.00	1-30-97	37.25	707.72	4.72
5	TOMRA SYS A/S ADR NEW	4-18-96	9.00	45.00	2-05-97	19.41	97.03	52.03
38	GROUPE AB SA ADS	12-12-96	21.00	798.00	2-06-97	12.73	483.79	(314.21)
0	TELECOM ITALIA S.P.A	2-07-97	.00	.00	2-07-97	.00	64.12	64.12
23	WESTERN AREAS GOLD MNG LTD ADR	8-29-96	14.03	322.69	2-11-97	11.75	270.24	(52.45)
5	SHL TRNS&TRAD PLC NY SH NEW	10-15-96	98.93	494.64	2-12-97	104.15	520.73	26.09
7	SHL TRNS&TRAD PLC NY SH NEW	8-30-96	87.30	611.10	2-12-97	104.15	729.01	117.91
83	GULF CANADA RESOURCES LTD	1-13-97	8.95	743.13	2-13-97	7.62	632.05	(110.28)
29	NIPPON TELEGRAPH&TELEPHONE ADS	9-18-96	37.50	1,087.50	2-14-97	35.00	1,014.96	(72.54)
12	ENTERPR OIL PLC SPON ADR ORD	10-24-96	27.38	328.50	2-18-97	31.50	377.99	49.49
28	ENTERPR OIL PLC SPON ADR ORD	10-09-96	27.64	774.03	2-18-97	31.50	881.96	107.93
10	ENI SPA AMER DEP RCPT	3-06-96	38.35	383.51	2-19-97	53.12	531.23	147.72
22	CASCADE COMMUNICATION CORP	5-22-96	57.25	1,259.51	2-21-97	26.35	579.68	(679.83)
53	NOBLE DRILLING	9-04-96	14.94	791.66	2-25-97	18.00	953.96	162.30
36	GRUPO IND MASECA SA DE CV ADS	4-08-96	12.50	450.00	2-28-97	17.88	643.71	193.71
0	WESTERN AREAS GOLD MNG LTD ADR	3-03-97	.00	.00	3-03-97	.00	2.38	2.38
17	TELECOM ITALIA S.P.A	11-15-96	40.75	692.75	3-05-97	43.87	745.85	53.10
42	DSP COMMUNICATION INC	10-02-96	29.05	1,220.29	3-06-97	10.07	422.79	(797.50)
10	COMPUWARE CORP	7-26-96	40.00	400.00	3-10-97	64.25	642.47	242.47
25	CONSECO INC	9-03-96	20.52	513.09	3-10-97	42.37	1,059.34	546.25
10	DAIMLERBENZ AKTIENGESELLSCHAFT	5-21-96	54.50	545.00	3-10-97	77.25	772.47	227.47
10	ERICSSON LM TEL ADR B SEK 10	9-18-96	25.13	251.25	3-10-97	35.87	358.73	107.48
10	WESTERN DIGITAL CORPORATION	5-20-96	26.74	267.44	3-10-97	60.25	602.48	335.04
10	PERUSAHAAN PERSEROAN INDONESIA	1-30-97	35.50	355.00	3-18-97	30.00	299.99	(55.01)

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DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

NICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
SHORT-TERM GAIN/(LOSS) TRANSACTIONS								
11	PERUSAHAAN PERSEROAN INDONESIA	10-08-96	30.25	332.75	3-18-97	30.00	329.98	(2.77)
10	TELEFONICA DE ESPANA SA ADR	1-29-97	70.00	700.00	3-18-97	70.12	701.23	1.23
54	CHESAPEAKE ENERGY CORP	5-22-96	23.40	1,263.30	3-19-97	22.59	1,219.86	(43.52)
32	FAIRGAIN TECHNOLOGIES	9-25-96	38.50	1,232.00	3-20-97	25.83	826.42	(405.58)
23	CATALINA MARKETING CORP	10-04-96	53.15	1,222.40	3-25-97	41.29	949.78	(272.62)
34	STORAGE TECHNOLOGY CORP NEW	7-29-96	33.50	1,139.00	3-25-97	37.81	1,285.49	146.49
42	ABITIBI CONSOLIDATED INC	1-16-97	17.38	729.75	4-07-97	14.25	598.50	(131.25)
26	BIOGEN INC MASS	2-24-97	49.75	1,293.50	4-14-97	33.00	857.97	(435.53)
54	ROWAN COMPANIES INC	1-09-97	25.38	1,370.25	4-14-97	20.01	1,080.42	(289.83)
10	GATEWAY 2000 INC	9-03-96	44.56	445.57	4-15-97	56.37	563.73	118.16
15	MICRON ELECTRONICS INC	3-24-97	19.25	288.68	4-15-97	22.37	335.61	46.93
15	OXFORD HEALTH PLANS	6-20-96	39.80	596.99	4-15-97	63.00	944.96	347.97
20	SGS THOMSON MICROELEC	1-17-97	79.14	1,582.88	4-16-97	67.04	1,340.74	(242.14)
7	NOKIA CP ADR	10-25-96	46.88	328.13	4-18-97	58.26	407.05	79.72
17	NOKIA CP ADR	10-15-96	45.50	773.50	4-18-97	58.26	990.48	216.98
16	ERICSSON LM TEL ADR B SEK 10	9-18-96	25.13	402.00	4-22-97	32.02	512.39	110.39
25	ERICSSON LM TEL ADR B SEK 10	1-30-97	32.50	812.50	4-22-97	32.02	800.62	(11.88)
34	KOOR INDS LTD	1-31-97	19.88	675.75	4-22-97	17.50	595.07	(80.68)
24	CLARINS SA SPON ADR	2-27-97	28.38	681.00	4-25-97	24.37	584.98	(96.02)
17	TUBOS DE ACERO NEW ADR	6-27-96	9.30	158.15	4-28-97	16.37	278.36	120.21
22	TUBOS DE ACERO NEW ADR	10-23-96	11.25	247.50	4-28-97	16.37	360.24	112.74
65	PEARSON PLC SP ADR	12-31-96	13.25	861.25	5-06-97	11.50	747.47	(113.78)
16	DAIMLER-BENZ AG RTS5 13 97	5-06-97	.00	.00	5-07-97	.08	1.25	1.25
235	LADBROKE GROUP PLC ADR	12-31-96	4.10	963.50	5-09-97	3.80	892.97	(70.53)
16	ROYAL BANK OF CANADA	11-05-96	35.38	566.00	5-12-97	42.91	686.58	120.58

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DWR (ICSE (88 17) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 6117

DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

NICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
SHORT-TERM GAIN/(LOSS) TRANSACTIONS								
45	MICRON ELECTRONICS INC	3-24-97	19.24	866.02	5-14-97	16.61	747.51	(118.51)
165	CARADON PLC ADR OLD	2-14-97	4.51	743.64	5-19-97	3.50	577.48	(166.16)
10	FRESENIUS MEDICAL CARE AG	11-06-96	30.50	305.00	5-21-97	28.43	284.28	(20.72)
13	FRESENIUS MEDICAL CARE AG	10-02-96	25.45	330.79	5-21-97	28.43	369.57	38.78
14	FRESENIUS MEDICAL CARE AG	10-07-96	25.50	357.00	5-21-97	28.43	398.00	41.00
31	CONSECO INC	9-03-96	20.52	636.23	5-23-97	39.50	1,224.45	588.22
48	UTD ASSET MANAGEMENT	8-02-96	25.00	1,200.00	5-23-97	27.25	1,307.95	107.95
15	AXA-UAP	4-22-97	31.13	466.88	6-03-97	29.87	448.11	(18.77)
20	AXA-UAP	2-26-97	33.75	675.00	6-03-97	29.87	597.48	(77.52)
21	BASF AG NEW ADR	10-17-96	32.00	672.00	6-04-97	37.17	780.66	108.66
44	CONTL AG SPONS ADR	9-11-96	17.25	759.00	6-04-97	22.14	974.33	215.33
75	GUANGDONG INV LTD SP ADR	8-26-96	7.56	566.63	6-10-97	11.87	890.60	323.97
9	BASF AG NEW ADR	11-06-96	34.00	306.00	6-12-97	37.62	338.61	32.61
11	BASF AG NEW ADR	10-17-96	32.00	352.00	6-12-97	37.62	413.86	61.86
80	BOUYGUES OFFSHORE S.A.	4-18-97	13.00	1,040.00	6-12-97	11.75	939.96	(100.04)
35	FRUIT OF THE LOOM A	1-07-97	36.56	1,279.52	6-16-97	32.87	1,150.59	(128.93)
24	UNIFI INC	5-05-97	32.75	786.00	6-16-97	33.00	791.97	5.97
15	IMPL CHEM IND PLC ADR NEW	5-12-97	51.63	774.38	6-17-97	54.93	823.99	49.61
0	PEREZ COMPANC SA SPS ADR	6-18-97	.00	.00	6-18-97	.00	10.09	10.09
21	TOYOTA MOTOR CP ADR NEW	2-14-97	55.63	1,168.13	6-23-97	58.25	1,223.20	55.07
46	AMER POWER CONVER	1-08-97	28.19	1,296.91	6-24-97	20.66	950.15	(346.76)
5	BRITISH AIRWAYS FINL INST ADR	10-15-96	93.64	468.18	7-03-97	116.19	580.96	112.78
25	QIAGEN NV	7-15-96	15.72	393.00	7-09-97	58.35	1,458.75	1,065.75
14	VINA CONCHA Y TORO S.A. ADS	11-27-96	24.00	336.00	7-17-97	31.00	433.98	97.98
5	SCOIEDAD QUIMICA Y MINERA ADS	1-09-97	57.83	289.15	7-21-97	62.24	311.20	22.05

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DWR 1g31 (95-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 9117

DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

NICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
SHORT-TERM GAIN/(LOSS) TRANSACTIONS								
26	DR. SOLOMONS GP PLC ADR	6-20-97	22.63	588.25	7-22-97	25.76	669.70	81.45
22	LOGITECH INTL SA ADR	4-23-97	18.75	412.50	7-22-97	16.75	368.48	(44.02)
33	LOGITECH INTL SA ADR	3-27-97	16.00	528.00	7-22-97	16.75	552.73	24.73
10	TELEFONICA DE ARGENTINA SA ADR	1-30-97	28.50	285.00	7-22-97	35.37	353.74	68.74
13	TELEFONICA DE ARGENTINA SA ADR	11-19-96	25.88	336.38	7-22-97	35.37	459.86	123.48
20	PANAMERICAN BEVERAGES CLASS A	3-10-97	28.70	573.94	7-23-97	29.73	594.67	20.73
20	GATEWAY 2000 INC	9-03-96	22.28	445.58	7-24-97	43.23	864.51	418.93
20	FIRST SOUTH AFRICA CORP LTD	6-18-97	7.51	150.19	7-25-97	7.56	151.24	1.05
10	GILAT SATELLITE NTWK LTD ORD	12-13-96	25.88	258.75	7-25-97	32.50	324.98	66.23
20	ASM LITHOGRAPHY HLDG NV ORD	11-22-96	23.07	461.33	7-25-97	86.00	1,719.94	1,258.61
10	ALTERA CP	4-28-97	44.72	447.18	7-25-97	58.69	586.86	139.68
40	BANCO CENTRAL HISPANOAMER ADR	1-29-97	12.15	486.00	7-25-97	19.87	794.97	308.97
20	COMDISCO INC	5-02-97	22.01	440.15	7-25-97	28.81	576.23	136.08
20	DOLLAR GENERAL CORPORATION	2-26-97	28.63	572.50	7-25-97	44.75	894.97	322.47
15	ERICSSON LM TEL ADR B SEK 10	4-30-97	32.63	489.38	7-25-97	46.06	690.91	201.53
10	GLAXO WELLCOME PLC ADS	4-23-97	37.88	378.75	7-25-97	44.37	443.73	64.98
20	GLOBAL MARINE INC NEW	3-21-97	21.63	432.50	7-25-97	27.00	539.98	107.48
10	HSBC HLDG PLC SPND ADR NEW	1-30-97	229.50	2,295.00	7-25-97	332.49	3,324.88	1,029.88
10	HELMERICH&PAYNE INC	2-24-97	44.50	445.00	7-25-97	65.19	651.85	206.85
10	JONES APPAREL GRP INC	5-28-97	46.22	462.22	7-25-97	52.44	524.36	62.14
40	LADBROKE GROUP PLC ADR	1-29-97	3.85	154.00	7-25-97	4.25	169.99	15.99
70	NINTENDO CO LTD ADR NEW	10-29-96	8.63	603.75	7-25-97	11.62	813.72	209.97
25	NO FORK BANCORP	2-26-97	20.39	509.70	7-25-97	25.19	629.66	119.96
10	OIL CO LUKOIL SPN ADR	11-12-96	43.63	436.31	7-25-97	90.00	899.97	463.66
15	OWENS ILLINOIS COM NEW	5-02-97	29.25	438.75	7-25-97	30.94	464.04	25.29

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DWR-12K(1) (M-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 4117

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DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

NICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
SHORT-TERM GAIN/(LOSS) TRANSACTIONS								
4	PETROLIUM GEO SVCES A/S ADS	10-07-96	31.50	126.00	7-25-97	53.37	213.49	87.49
11	PETROLIUM GEO SVCES A/S ADS	10-02-96	29.19	321.13	7-25-97	53.37	587.11	265.98
35	RELIANCE GROUP HOLDINGS INC	7-07-97	12.62	441.01	7-25-97	13.56	474.67	32.86
15	ROYAL DUTCH PETE NY 1.25 GU	4-18-97	43.84	657.59	7-25-97	54.69	820.28	162.69
10	SAP AKRIEN SPN ADR	4-18-97	55.83	558.29	7-25-97	79.00	789.97	231.68
15	SYBRON INTL CP WISC	10-03-96	29.83	447.40	7-25-97	39.94	599.04	151.64
20	TJX COS INC NEW	5-27-97	24.24	484.89	7-25-97	29.00	579.98	95.09
15	TELEFONOS DE MX SA DE CV ADR	6-27-97	48.44	726.56	7-25-97	51.94	779.03	52.47
20	WOOLWORTH CORP	9-16-96	21.88	437.50	7-25-97	26.94	538.73	101.23
10	ADAPTEC INC	3-07-97	30.38	303.75	7-28-97	42.25	422.48	38.73
10	CONTINENTIAL ALNS INC CL B	5-05-97	31.96	319.61	7-28-97	35.75	357.48	37.87
20	DEUTSCHE LUFTHANSA AG ADR	5-13-97	16.69	333.85	7-28-97	19.62	392.48	58.63
10	NY TIMES CL A COMMON	3-26-97	46.50	465.00	7-28-97	50.69	506.86	41.86
5	ASM LITHOGRAPHY HLDG NV ORD	11-22-96	23.07	115.33	8-01-97	81.75	408.73	293.40
5	COMP DE TELE DE CHIL ADR NEW A	1-30-97	25.13	125.63	8-04-97	32.78	163.88	38.25
5	DAIMLERBENZ AKTIENGESELLSCHAFT	8-30-96	54.27	271.34	8-07-97	80.00	399.98	128.64
40	ASTRA AB CL B ADS	5-21-97	16.55	661.88	8-11-97	16.75	669.97	8.09
15	NY TIMES CL A COMMON	3-26-97	46.50	697.50	8-11-97	47.82	717.35	19.85
17	TELEFONOS DE MX SA DE CV ADR	7-23-97	50.56	859.57	8-11-97	52.54	893.25	33.68
20	TELEFONOS DE MX SA DE CV ADR	6-27-97	48.44	968.75	8-11-97	52.54	1,050.88	82.13
88	COMPASS GROUP PLC ADR	3-21-97	11.13	979.00	8-13-97	10.05	884.37	(94.63)
17	NOVO NORDISK A/S ADR	1-02-97	45.50	773.48	8-18-97	49.51	841.74	68.26
35	AJL PEPS TRUST $1.44 (PEPS)	3-06-97	15.75	551.25	8-21-97	15.75	551.23	(.02)
12	GATEWAY 2000 INC	9-03-96	22.28	267.34	8-25-97	41.01	492.07	224.73
15	TAIYO YUDEN CO LTD UNSP ADR	10-07-96	53.60	804.00	8-26-97	47.00	704.97	(99.03)

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DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-100600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

ICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
HORT-TERM GAIN/(LOSS) TRANSACTIONS								
36	WOOLWORTH CORP	9-16-96	21.00	787.50	8-27-97	22.97	826.92	39.42
9	FUJITSU LTD ADR NEW	5-12-97	57.00	513.00	8-28-97	61.50	553.48	40.48
7	HITACHI 10 COM NEW ADR	6-23-97	116.26	813.84	8-28-97	93.72	656.05	(157.79)
5	YASUDA TR & BKG LTD ADR	6-23-97	37.00	185.00	8-28-97	36.00	179.99	(5.01)
6	OIL CO LUKOIL SPN ADR	11-12-96	43.63	261.78	9-02-97	95.00	569.98	308.20
13	FURUKAWA ELECT ADR	6-24-97	63.50	825.50	9-11-97	53.00	688.97	(136.53)
5	KYOCERA CP ADR	6-24-97	158.50	792.50	9-11-97	132.59	662.94	(129.56)
10	NINTENDO CO LTD ADR NEW	10-29-96	8.63	86.25	9-11-97	10.50	105.00	18.75
41	NINTENDO CO LTD ADR NEW	11-12-96	8.63	353.63	9-11-97	10.50	430.48	76.85
5	SUMITOMO ELECTRIC INDUSTR ADR	6-24-97	164.00	820.00	9-11-97	141.17	705.84	(114.16)
20	COMMERZBANK AG ADR SPON	7-23-97	35.59	711.73	9-12-97	32.50	649.97	(61.76)
18	TELEFONOS DE MX SA DE CV ADR	7-23-97	50.56	910.14	9-17-97	47.50	854.97	(55.17)
4	MITSUI & CO LTD ADR	6-23-97	190.50	762.00	9-19-97	150.37	601.48	(160.52)
18	NEC CORP ADR	12-11-96	61.75	1,111.50	9-19-97	56.87	1,023.71	(87.79)
17	YASUDA TR & BKG LTD ADR	6-23-97	37.00	629.00	9-22-97	30.00	509.98	(119.02)
5	OMNICOM GROUP	4-15-97	49.87	249.36	9-23-97	73.89	369.45	120.09
5	ALTERA CP	4-28-97	44.72	223.59	9-24-97	56.25	281.24	57.65
10	SCI SYSTEMS INC	5-19-97	28.69	286.88	9-24-97	47.13	471.28	184.40
15	RELIANCE GROUP HOLDINGS INC	7-07-97	12.62	189.35	9-26-97	14.00	209.99	20.64
1	FUJITSU LTD ADR NEW	5-12-97	57.00	57.00	10-03-97	62.00	62.00	5.00
14	FUJITSU LTD ADR NEW	6-24-97	70.00	980.00	10-03-97	62.00	867.96	(112.04)
8	ROCHE HOLDINGS ADR	2-14-97	86.75	694.00	10-09-97	89.00	711.97	17.97
15	SGS THOMSON MICROELEC	4-30-97	78.01	1,170.16	10-16-97	78.89	1,183.35	13.19
5	BANK OF IRELAND GRP	4-23-97	42.25	211.25	10-21-97	52.12	260.62	49.37
10	ALTERA CP	4-28-97	44.72	447.17	10-23-97	45.20	452.03	4.86

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DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

ICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
HORT-TERM GAIN/(LOSS) TRANSACTIONS								
24	OWENS ILLINOIS COM NEW	5-02-97	29.25	702.00	10-24-97	34.07	817.72	115.72
34	SOLECTRON CP	6-25-97	34.80	1,183.06	10-27-97	38.00	1,291.95	108.89
50	RELIANCE GROUP HOLDINGS INC	7-07-97	12.62	631.15	10-29-97	12.75	637.47	6.32
18	UNIBANCO GDS	10-21-97	41.00	738.00	10-31-97	26.00	467.98	(270.02)
11	NEWBRIDGE NETWORKS	10-10-97	65.00	715.00	11-07-97	44.00	483.98	(231.02)
19	BANCO CENTRAL HISPANOAMER ADR	1-29-97	12.15	230.85	11-11-97	17.23	327.45	96.60
30	BANCO CENTRAL HISPANOAMER ADR	2-05-97	13.32	399.46	11-11-97	17.23	517.03	117.57
0	BRITISH PETROLEUM PLC ADR	11-11-97	.00	.00	11-11-97	.00	4.88	4.88
3	DAI NIPPON PRTG LTD JAPAN ADR	6-25-97	226.00	678.00	11-11-97	185.99	557.98	(120.02)
19	ELAN PLC ADR	1-10-97	37.90	720.11	11-11-97	52.47	996.96	276.85
25	TV AZTECA S.A. DE C.V.	8-22-97	19.13	478.13	11-11-97	17.75	443.73	(34.40)
10	CASIO CMPTR ADR	6-24-97	82.00	820.00	11-12-97	80.00	799.97	(20.03)
7	TELE BRASILEIRAS SA SPND ADR	2-07-97	89.38	625.63	11-12-97	90.00	629.97	4.34
10	SUMITUMO BK LTD ADR	6-11-97	152.91	1,529.09	11-13-97	93.07	930.68	(598.41)
15	ADECCO SA SP ADR	4-04-97	38.25	573.75	11-14-97	35.25	528.73	(45.02)
20	ADECCO SA SP ADR	4-28-97	40.75	815.00	11-14-97	35.25	704.97	(110.03)
29	PEPSI GEMEX S A DE C V ADR	8-22-97	16.63	482.13	11-14-97	13.00	376.98	(105.15)
3	COOPER CAMERON CORP	9-08-97	65.31	195.94	11-21-97	63.00	188.99	(6.95)
5	HELMERICH&PAYNE INC	2-24-97	44.50	222.50	11-21-97	77.23	386.13	163.63
31	COMDISCO INC	5-02-97	22.01	682.24	11-24-97	28.47	882.58	200.34
13	TOTAL SA SPONSORED ADR	9-17-97	54.89	713.57	11-26-97	51.50	669.47	(44.10)
48	BTR PLC NEW ADR	9-19-97	15.85	760.80	12-08-97	11.87	569.98	(190.82)
30	CREATIVE TECH LTD ORD	9-16-97	21.75	652.50	12-09-97	21.99	659.57	7.07
33	DIXONS GRP PLC ADR	8-21-97	31.99	1,055.80	12-11-97	30.34	1,001.31	(54.49)
21	MARUICO LTD ADR NEW	6-24-97	40.25	845.25	12-15-97	30.25	635.22	(210.03)

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DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAMALL II — 1-01-97 THRU 12-31-97

NICHOLAS-APPLEGATE CAPITAL MGMT — MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
SHORT-TERM GAIN/(LOSS) TRANSACTIONS								
34	GULF INDONESIA RES LIMITED	10-21-97	21.56	733.13	12-18-97	22.25	756.47	23.34
31	AVX CORPORATION	10-29-97	27.13	840.88	12-19-97	19.43	602.24	(238.64)
29	CADILLAC FAIRVIEW	11-25-97	23.31	676.06	12-19-97	22.50	652.47	(23.59)
28	VLSI TECHNOLOGY INC	10-17-97	34.26	959.28	12-22-97	20.73	580.36	(378.92)
22	ADAPTEC INC	3-07-97	38.38	844.25	12-23-97	36.85	810.60	(33.65)
24	GENCORP INC	8-07-97	27.74	665.67	12-24-97	23.12	554.98	(110.69)
19	RICOH LTD ADR	2-26-97	59.40	1,128.58	12-24-97	61.28	1,162.76	34.18
35	GLOBAL MARINE INC NEW	3-21-97	21.63	756.88	12-31-97	24.81	868.24	111.36
	TOTAL SHORT-TERM GAIN							20,080.57
	TOTAL SHORT-TERM LOSS							(10,789.74)
	TOTAL SHORT-TERM			125,537.50			134,828.33	9,290.83
LONG-TERM GAIN/(LOSS) TRANSACTIONS								
15	HONDA MOTOR COMPANY LTD ADR	10-25-95	37.13	556.90	1-09-97	53.38	800.65	243.75
10	TDK CP ADR NEW	8-08-95	51.24	512.43	1-09-97	61.59	615.88	103.45
10	DIXONS GRP PLC ADR	11-06-95	18.75	187.50	1-14-97	25.75	257.49	69.99
15	DIXONS GRP PLC ADR	9-11-95	16.88	252.00	1-14-97	25.75	386.23	134.23
187	CHEUNG KONG HOLDINGS ADR	11-16-95	5.53	1,033.74	1-15-97	9.95	1,860.58	826.84
30	COMAIR HOLDINGS	1-18-96	14.82	444.62	1-20-97	24.25	727.47	282.85
25	SAFEWAY INC COM NEW	10-11-95	21.63	540.62	1-20-97	46.75	1,168.71	628.09
33	MINEBEA LTD ADR	6-01-95	33.13	1,093.13	1-21-97	38.50	1,270.45	177.32
15	NOVARTIS AG ADR	10-25-95	40.66	609.95	2-05-97	58.25	873.72	263.77

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DWR-(ACS) (95-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change 4117

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DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

NICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

	Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
		LONG-TERM GAIN/(LOSS) TRANSACTIONS							
*	18	MEMTEC LTD ADR NEW	11-10-95	16.96	305.26	2-12-97	22.46	404.34	99.08
*	10	TELEFONICA DE ESPANA SA ADR	11-30-94	38.85	388.53	2-20-97	69.14	691.36	302.83
*	54	COMAIR HOLDINGS	1-18-96	14.82	800.32	2-21-97	20.09	1,084.64	284.32
*	6	GRUPO IND MASECA SA DE CV ADS	1-24-96	11.63	69.75	2-28-97	17.88	107.29	37.54
*	15	ENI SPA AMER DEP RCPT	3-06-96	38.35	575.27	3-07-97	50.50	757.47	182.20
*	10	BED BATH & BEYOND INC	1-26-96	19.66	196.56	3-10-97	26.12	261.24	64.68
*	20	CONCORD EFS INC	1-16-96	14.35	287.00	3-10-97	23.25	464.98	177.98
*	10	HBO & CO	11-20-95	39.09	390.90	3-10-97	58.00	579.98	181.08
*	15	HEALTH MGMT ASSOC CL A	2-26-96	20.63	309.50	3-10-97	27.75	416.23	106.73
*	27	NICE SYSTEMS LTD ADR	2-08-96	10.30	280.13	3-17-97	18.87	509.61	229.48
*	2	TELEFONICA DE ESPANA SA ADR	11-30-94	38.86	77.71	3-18-97	70.12	140.24	62.53
*	19	TELEDATA COMMUNICATIONS ORD	3-08-96	9.04	171.80	3-19-97	18.59	353.21	181.41
*	28	CRH PLC ADR	7-06-95	35.00	980.00	4-04-97	49.00	1,371.95	391.95
*	25	ASCEND COMMUNICATIONS INC	1-25-96	43.40	1,085.05	4-14-97	44.28	1,107.09	22.04
*	53	CONCORD EFS INC	1-16-96	14.35	760.55	4-14-97	17.02	902.17	141.62
*	44	GARTNER GROUP CL A	1-19-96	24.32	1,070.10	4-14-97	23.64	1,040.31	(29.79)
*	33	PHYCOR INC	1-25-96	33.59	1,108.38	4-29-97	24.21	799.02	(309.36)
	20	WPP GROUP PLC ADR NEW	3-22-96	30.50	610.00	5-09-97	40.87	817.47	207.47
	1	WPP GROUP PLC ADR NEW	3-22-96	30.50	30.50	5-16-97	40.62	40.62	10.12
	14	WPP GROUP PLC ADR NEW	3-29-96	30.94	433.13	5-16-97	40.62	568.73	135.60
	6	CANON INC ADR NEW	11-13-95	90.00	540.00	6-10-97	131.50	788.97	248.97
	18	WESTERN DIGITAL CORPORATION	5-20-96	13.37	240.70	6-10-97	29.21	525.80	285.10
	18	SAVILLE SYSTEMS PLC ADR	3-06-96	17.63	317.25	6-12-97	42.45	764.03	446.78
	5	CANON INC ADR NEW	11-13-95	90.00	450.00	6-20-97	133.49	667.47	217.47
	10	FUJI PHOTO ADR NEW	5-22-96	31.81	318.12	6-20-97	38.25	382.48	64.36

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DWR-IRCCI (85 97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 4117

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DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

ICHOLAS-APPLEGATE CAPITAL MGMT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
ONG-TERM GAIN/(LOSS) TRANSACTIONS								
27	HONDA MOTOR COMPANY LTD ADR	10-25-95	37.13	1,002.43	6-20-97	57.26	1,545.89	543.46
27	SAFEWAY INC COM NEW	10-11-95	21.63	583.88	6-25-97	47.74	1,288.85	704.97
10	TDK CP ADR NEW	8-08-95	51.24	512.43	6-25-97	72.69	726.88	214.45
13	BRITISH AIRWAYS FINL INST ADR	12-15-95	72.81	946.54	7-03-97	116.19	1,510.49	563.95
20	BAAN COMPANY NV	4-15-96	28.27	565.48	7-25-97	70.75	1,414.95	849.47
15	BED BATH & BEYOND INC	1-26-96	19.66	294.84	7-25-97	33.37	500.61	205.77
10	COMP DE TELE DE CHIL ADR NEW A	11-10-95	16.09	160.85	7-25-97	32.69	326.86	166.01
15	GREEN TREE FINANCIAL CORP	4-23-96	34.88	523.13	7-25-97	45.00	674.97	151.84
10	HUTCHISON WHAMPOA ADR	12-26-95	30.13	301.25	7-25-97	44.75	447.48	146.23
20	ING GROEP NV ADR	12-20-95	26.93	538.67	7-25-97	49.19	983.71	445.04
10	COMPUWARE CORP	7-26-96	20.00	200.00	7-28-97	61.12	611.22	411.22
11	COMP DE TELE DE CHIL ADR NEW A	11-10-95	16.09	176.94	8-04-97	32.78	360.55	183.61
11	DAIMLERBENZ AKTIENGESELLSCHAFT	5-21-96	54.50	599.50	8-07-97	80.00	879.97	280.47
10	NOVARTIS AG ADR	10-25-95	40.66	406.64	8-13-97	75.00	749.97	343.33
15	VOLKSWAGEN AG SPON ADR	8-22-96	72.63	1,089.38	9-12-97	129.32	1,939.73	850.35
14	OCE VAN DER GRITEN NV ADR	6-08-95	53.88	754.25	9-16-97	112.32	1,572.52	818.27
5	HBO & CO	11-20-95	19.95	99.73	9-23-97	40.12	200.62	100.89
5	OXFORD HEALTH PLANS	6-20-96	39.80	199.00	9-24-97	76.75	383.73	184.73
27	ING GROEP NV ADR	12-20-95	26.93	727.21	10-13-97	45.89	1,239.11	511.90
20	WESTERN DIGITAL CORPORATION	5-28-96	13.37	267.44	10-17-97	36.30	725.90	458.46
10	OXFORD HEALTH PLANS	6-20-96	39.80	397.99	11-04-97	26.11	261.06	(136.93)
4	CANON INC ADR NEW	11-13-95	90.00	360.00	11-11-97	113.12	452.48	92.48
17	COMPUWARE CORP	7-26-96	10.00	170.00	11-21-97	36.63	622.77	452.77
11	ASM LITHOGRAPHY HLDG NV ORD	11-22-96	23.07	253.73	12-11-97	56.62	622.85	369.12
20	GREEN TREE FINANCIAL CORP	4-23-96	34.88	697.50	12-11-97	24.10	482.00	(215.50)

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DWR-1(C0) (M-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 0117

DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-108600 NICK JOE RAHALL II 1-01-97 THRU 12-31-97

NICHOLAS-APPLEGATE CAPITAL MGMT MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
LONG-TERM GAIN/(LOSS) TRANSACTIONS								
13	TDK CP ADR NEW	8-08-95	51.24	666.16	12-17-97	76.65	996.40	330.24
11	COMPUWARE CORP	7-26-96	10.00	110.00	12-22-97	33.02	363.26	253.26
51	HEALTH MGMT ASSOC CL A	2-26-96	13.76	701.53	12-22-97	23.38	1,192.25	490.72
21	SYBRON INTL CP WISC	10-03-96	29.83	626.37	12-22-97	44.91	943.15	316.78
	* TOTAL LONG-TERM 28% RATE GAIN/(LOSS)							7,885.62
	TOTAL ALL LONG-TERM GAIN							17,251.42
	TOTAL ALL LONG-TERM LOSS							(691.58)
	TOTAL ALL LONG-TERM			30,968.27			47,528.11	16,559.84
	TOTAL ACCOUNT GAIN/(LOSS)			156,505.77			182,356.44	25,850.67

* Long-Term 28% Rate Gain/(Loss) includes gains or losses realized from securities sold prior to May 7, 1997, which were held for more than 1 year, and gains or losses on securities sold after July 28, 1997, which were held for more than 1 year but not more than 18 months.

This Capital Gains Schedule is not an official tax document. It is provided for informational purposes only.

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DWR-IACS1 (PS-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 4117

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

Your Account Executive
MR PEAR/MR HANDO
DEAN WITTER REYNOLDS INC
1775 EYE STREET, NW SUITE 200
WASHINGTON, DC 20006
(202) 862-9000

Account Number AE
642 113487 022

AAA Customer Service
1-800-869-DEAN

NICK JOE RAHALL II 000415
ACCESS #2-LAZARD FRERES
1301 DELAWARE AVENUE SW APT 409N
WASHINGTON DC 20024 3913

Asset Summary (Year End)

	Value	Percent of assets
Money Market Funds	$5,935.43	5.9%
Stocks	94,514.82	94.1
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$100,450.25	100.0%
Cash	19.86	
Total Asset Value	$100,470.11	

Income Summary for 1997

Money Market Funds	$365.00
Stocks	2,261.34
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	0.00
Total Income	$2,626.34
Taxable Income	$2,626.34
Tax Exempt Income	$0.00

Activity Summary for 1997

Total Asset Value as of January 01 1997 $124,160.39

Summary of Activity Categories for 1997

Income	$2,626.34
Deposits	0.00
Assets Sold	58,966.34
Other	-8,098.06
Checking	0.00
Visa	0.00
Withdrawals	-43,500.00
Assets Bought	-9,761.79

Changes in Asset Value for 1997

Value of Priced Assets as of 1/1/97	$118,246.46
Assets Bought	9,761.79
Assets Received	0.00
Assets Sold	-58,966.34
Assets Delivered	0.00
Change in Value of Priced Assets	25,472.91
Value of Priced Assets as of 12/31/97	94,514.82

Net Change in Asset Value -23,731.64

Total Asset Value as of December 31 1997 $100,470.11

The Active Assets Account provides up to $50 million in securities protection; $500,000 in coverage through the Securities Investor Protection Corp., and $49.5 million through independent third party coverage purchased by Dean Witter.

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number AE
642 113487 022

YEAR END ASSETS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	19.86	---	---
ACTIVE ASSETS MONEY TRUST	5,935.43	5.9%	315
Total Cash and Money Market Funds	$5,955.29	5.9%	$315

Annualized 30 Day Yields	
Active Assets Money Trust	5.32%
Active Assets Govt. Sec. Tr	4.98%
Active Assets California Tax Free	2.97%
Active Assets Tax Free Trust	3.21%
Dean Witter Insured Account	4.88%
Active Assets Deposit Account	4.88%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
85	ABN AMRO ADR	19 1/2	1,657.50	1.7%	40	2.42%	AAN	Next Dividend Payable 03/98
120	ALCATEL ALSTHOM SPON ADR	25 5/16	3,037.50	3.0%	34	1.14%	ALA	Next Dividend Payable 07/98
285	ALLIED DOMECQ PLC ADR SPON	9	2,565.00	2.6%	107	4.17%	ALDCY	Next Dividend Payable 03/02/98
30	AMERITECH CORP	80 1/2	2,415.00	2.4%	72	2.98%	AIT	Next Dividend Payable 02/02/98
141	ASTRA AB CL B ADS	16 1/2	2,326.50	2.3%	60	2.60%	AAB	Next Dividend Payable 05/98
30	BANKAMERICA CORP	73	2,190.00	2.2%	36	1.67%	BAC	Next Dividend Payable 03/98
50	CADBURY SCHW PLC ADR 10 ORD NH	41 3/8	2,068.75	2.1%	59	2.86%	CSG	Next Dividend Payable 00/00
130	COMPAGNIE GENERALE DE EAUX ADR	27 7/8	3,623.75	3.6%	40	1.12%	CGDEY	Next Dividend Payable 00/00
25	DAIMLERBENZ AKTIENGESELLSCHAFT	72 1/4	1,806.25	1.8%	11	.65%	DAI	Next Dividend Payable 00/00
35	DEERE & CO	58 1/4	2,038.75	2.0%	30	1.51%	DE	Next Dividend Payable 02/02/98
30	DEUTSCHE BANK AG SP ADR	70 5/8	2,118.75	2.1%	22	1.06%	DTBKY	Next Dividend Payable 06/98
50	DIAGEO PLC ADS	37 7/8	1,893.75	1.9%	70	3.73%	DEO	Next Dividend Payable 00/00
43	DU PONT EI DE NEMOURS & CO	60 1/16	2,582.68	2.6%	54	2.09%	DD	Next Dividend Payable 03/98
47	ELF AQUITAINE SPON ADR	58 5/8	2,755.37	2.7%	47	1.73%	ELF	Next Dividend Payable 07/98
160	ENDESA SA ADS	18 3/16	2,910.00	2.9%	172	5.92%	ELE	Next Dividend Payable 01/28/98
35	ENI SPA AMER DEP RCPT	57 1/16	1,997.18	2.0%	33	1.66%	E	Next Dividend Payable 00/00
390	GEN ELEC PLC ADR	6 1/2	2,535.00	2.5%	81	3.20%	GNELY	Next Dividend Payable 04/98
30	GENERAL ELECTRIC CO	73 3/8	2,201.25	2.2%	36	1.63%	GE	Next Dividend Payable 01/26/98
5	HEINEKEN NV ADR	174 1/8	870.62	0.9%	7	.83%	HINKY	Next Dividend Payable 04/98
45	HOECHST AKTIENGESELLSHAFT	35 1/16	1,577.81	1.6%	0	0.00%	HOE	
5	HSBC HLDG PLC SPND ADR NEW	246 1/2	1,232.50	1.2%	39	3.20%	HSBHY	Next Dividend Payable 04/98
20	INTL BUSINESS MACHINES CORP	104 5/8	2,092.50	2.1%	16	.76%	IBM	Next Dividend Payable 03/98
20	LOCKHEED MARTIN CORP	98 1/2	1,970.00	2.0%	32	1.62%	LMT	Next Dividend Payable 03/98
7	MANNESMANN AG SP ADR	505 1/2	3,538.50	3.5%	26	.74%	MNNSY	Next Dividend Payable 06/98
11	MATSUSHITA EL INDL ADR	152	1,672.00	1.7%	9	.59%	MC	Next Dividend Payable 06/98
25	MITSUI MARINE&FIRE INS LTD ADR	51 1/8	1,278.12	1.3%	12	.97%	MMFIY	Next Dividend Payable 00/00
20	MOBIL CORP DELAWARE	72 3/16	1,443.75	1.4%	42	2.93%	MOB	Next Dividend Payable 03/98
52	NATIONAL POWER PLC ADS	39 5/8	2,060.50	2.1%	102	4.95%	NP	Next Dividend Payable 01/16/98
50	NESTLE SPON ADR REP REG SHR	75	3,750.00	3.7%	43	1.17%	NSRGY	Next Dividend Payable 06/98
37	NOVARTIS AG ADR	81 1/8	3,001.62	3.0%	21	.71%	NVTSY	Next Dividend Payable 05/98
72	PHILIP MORRIS CO INC	45 1/4	3,258.00	3.2%	115	3.53%	MO	Next Dividend Payable 01/12/98
75	RHONE-POULENC AMER DEPOSIT SHS	44 3/16	3,314.06	3.3%	33	1.01%	RP	Next Dividend Payable 07/98
30	RICOH LTD ADR	62 1/4	1,867.50	1.9%	12	.64%	RICOY	Next Dividend Payable 06/98

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
38	ROYAL DUTCH PETE NY 1.25 GU	54 3/16	2,059.12	2.0%	47	2.29%	RD	Next Dividend Payable 04/98
30	SEARS ROEBUCK & CO	45 1/4	1,357.50	1.4%	27	2.03%	S	Next Dividend Payable 01/02/98
75	SOCIETE GENERALE SP ADR	27 1/4	2,043.75	2.0%	37	1.85%	SCGLY	Next Dividend Payable 00/00
33	SONY CORP ADR 1974 NEW	90 3/4	2,994.75	3.0%	12	.42%	SNE	Next Dividend Payable 06/98
67	TRAVELERS GROUP INC	53 7/8	3,609.62	3.6%	33	.92%	TRV	Next Dividend Payable 02/98
60	UNILEVER PLC AMER SHARES	34 1/2	2,070.00	2.0%	23	1.14%	UL	Next Dividend Payable 06/98
35	ZURICH INSURANCE CO REG ADR	95 3/8	3,338.12	3.3%	29	.88%	ZURRY	Next Dividend Payable 00/00
	Total Common Stocks		93,123.32	92.8%	1,738	1.86%		
Preferred Stocks								
184	FIAT SPA PREF AM DEP SH	7 9/16	1,391.50	1.3%	36	2.63%	FIAPR	Next Dividend Payable 08/98
Total Stocks			$94,514.82	94.1%	$1,775	1.87%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	100,470.11	$2,090

1997 ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	06-13	Bought	135	ABN AMRO ADR	19.2490	2,598.62	
	07-30	Sold	50	ABN AMRO ADR	23.8750	1,193.71	
	03-13	Sold	45	ALCATEL ALSTHOM SPON ADR	22.2500	1,001.21	
	07-30	Sold	40	ALCATEL ALSTHOM SPON ADR	25.2500	1,009.96	
	09-15	Sold	10	AMERITECH CORP	63.4375	634.35	
	02-10	Sold	121	ARCHER DANIELS MIDLAND	19.1250	2,314.05	
	05-29	Stock Dividend	88	ASTRA AB CL B ADS			
	02-13	Sold	105	BANCO CENTRAL HISPANOAMER ADR	13.4886	1,416.25	
	06-16	Stock Dividend	25	BANKAMERICA CORP			
	07-30	Sold	20	BANKAMERICA CORP	71.2500	1,424.95	
	02-05	Sold	60	BRITISH GAS PLC ADR	35.1213	2,107.20	
	07-30	Sold	15	CADBURY SCHW PLC ADR 10 ORD NW	39.5625	593.42	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	03-13	Sold	35	COMPAGNIE GENERALE DE EAUX ADR	28	979.96	
	05-07	Stock Dividend	40	DAIMLER-BENZ AG RTS5 13 97			
	05-12	Sold	40	DAIMLER-BENZ AG RTS5 13 97	5/64	3.12	
	07-30	Sold	15	DAIMLERBENZ AKTIENGESELLSCHAFT	82.9375	1,244.01	
	07-30	Sold	25	DEERE & CO	56	1,399.95	
	07-30	Sold	15	DEUTSCHE BANK AG SP ADR	66.2500	993.71	
	12-19	Received	50	DIAGEO PLC ADS			EXCHANGE
	03-13	Sold	20	DU PONT EI DE NEMOURS & CO	112.3750	2,247.42	
	06-12	Stock Dividend	29	DU PONT EI DE NEMOURS & CO			
	07-30	Sold	15	DU PONT EI DE NEMOURS & CO	66.6875	1,000.27	
	07-30	Sold	25	ELF AQUITAINE SPON ADR	54.5625	1,364.01	
	09-15	Sold	10	ELF AQUITAINE SPON ADR	60.5000	604.97	
	07-30	Sold	15	EMPRESA NATL DE EL SA ADR	82.3750	1,235.58	TRADE CARRIES STOCK DISTRIB.
	07-31	Stock Dividend	120	EMPRESA NATL DE EL SA ADR			
	07-30	Sold	15	ENI SPA AMER DEP RCPT	58.9375	884.03	
	08-11	Stock Dividend	16	FIAT SPA PREF AM DEP SH			
	03-13	Sold	10	GENERAL ELECTRIC CO	105.2500	1,052.46	
	05-09	Stock Dividend	20	GENERAL ELECTRIC CO			
	07-30	Sold	10	GENERAL ELECTRIC CO	72.4375	724.35	
	07-30	Sold	25	GRAND MET PLC LTD SPNSR ADR	40.4375	1,010.90	
	12-19	Tender	50	GRAND MET PLC LTD SPNSR ADR			EXCHANGE
	03-13	Sold	40	HOECHST AG ADR NEW	46.3750	1,854.93	
	09-15	Sold	10	HOECHST AG ADR NEW	43.1250	431.23	
	10-02	Received	45	HOECHST AKTIENGESELLSHAFT			EXCHANGE
	10-02	Tender	45	HOECHST AG ADR NEW			EXCHANGE
	03-17	Sold	55	HONDA MOTOR COMPANY LTD ADR	60.6616	3,336.27	
	07-30	Sold	5	HSBC HLDG PLC SPND ADR NEW	332.5000	1,662.44	
	03-13	Sold	5	INTL BUSINESS MACHINES CORP	146.1250	730.60	
	05-27	Stock Dividend	15	INTL BUSINESS MACHINES CORP			
	07-30	Sold	10	INTL BUSINESS MACHINES CORP	106.6250	1,066.21	
	07-30	Sold	5	LOCKHEED MARTIN CORP	101.6875	508.42	
	06-24	Stock Dividend	10	MOBIL CORP DELAWARE			
	07-30	Sold	20	NATIONAL POWER PLC ADS	39.1250	782.47	
	07-30	Sold	10	NESTLE SPON ADR REP REG SHR	62.8750	628.72	
	09-03	Sold	70	NKK CORP ADR	15.2084	1,064.55	
	03-27	Bought	20	NOVARTIS AG ADR	58.8460	1,176.92	
	07-30	Sold	20	NOVARTIS AG ADR	78.5000	1,569.94	
	03-13	Sold	25	PHILIP MORRIS CO INC	137.5000	3,437.38	
	04-10	Stock Dividend	48	PHILIP MORRIS CO INC			
	07-30	Sold	55	RHONE-POULENC AMER DEPOSIT SHS	41.7500	2,296.17	
	07-30	Sold	10	RICOH LTD ADR	70	699.97	
	03-13	Sold	5	ROYAL DUTCH PETE NY RG 5 GLDR	179	894.97	
	07-01	Received	48	ROYAL DUTCH PETE NY 1.25 GU			EXCHANGE
	07-01	Tender	12	ROYAL DUTCH PETE NY RG 5 GLDR			EXCHANGE
	09-15	Sold	10	ROYAL DUTCH PETE NY 1.25 GU	52.5625	525.61	
	07-30	Sold	15	SEARS ROEBUCK & CO	61.8125	927.15	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
03-24	Bought	105	SOCIETE GENERALE SP ADR	22.7500	2,388.75	
09-15	Sold	30	SOCIETE GENERALE SP ADR	25.7500	772.47	
07-30	Sold	25	SONY CORP ADR 1974 NEW	93.5000	2,337.42	
03-13	Sold	35	TRAVELERS GROUP INC	55.1250	1,929.31	
07-30	Sold	20	TRAVELERS GROUP INC	70.1875	1,403.70	
11-19	Stock Dividend	22	TRAVELERS GROUP INC			
07-30	Sold	10	UNILEVER PLC AMER SHARES	117.3125	1,173.09	
10-20	Stock Dividend	45	UNILEVER PLC AMER SHARES			
03-10	Sold	20	YASUDA TR & BKG LTD ADR	25.6160	512.30	
02-21	Bought	40	ZURICH INSURANCE CO REG ADR	59.2500	2,370.00	
03-21	Bought	20	ZURICH INSURANCE CO REG ADR	61.3750	1,227.50	
09-15	Sold	25	ZURICH INSURANCE CO REG ADR	79.2500	1,981.18	

Income

Activity	Description	Amount	Income Category
Dividend	ACTIVE ASSETS MONEY TRUST	365.00	Money Market Funds
Dividend	ABN AMRO ADR	18.64	Stocks
Dividend	ALCATEL ALSTHOM SPON ADR	54.38	Stocks
Dividend	ALLIED DOMECQ PLC ADR SPON	123.16	Stocks
Dividend	AMERITECH CORP	84.75	Stocks
Dividend	ARCHER DANIELS MIDLAND	6.05	Stocks
Dividend	ASTRA AB CL B ADS	26.74	Stocks
Dividend	BANKAMERICA CORP	48.80	Stocks
Dividend	CADBURY SCHW PLC ADR 10 ORD NW	80.73	Stocks
Dividend	COMPAGNIE GENERALE DE EAUX ADR	47.84	Stocks
Dividend	DAIMLERBENZ AKTIENGESELLSCHAFT	18.82	Stocks
Dividend	DEERE & CO	43.00	Stocks
Dividend	DEUTSCHE BANK AG SP ADR	35.99	Stocks
Dividend	DU PONT EI DE NEMOURS & CO	73.30	Stocks
Dividend	ELF AQUITAINE SPON ADR	98.05	Stocks
Dividend	EMPRESA NATL DE EL SA ADR	101.63	Stocks
Dividend	ENI SPA AMER DEP RCPT	47.43	Stocks
Dividend	FIAT SPA PREF AM DEP SH	30.91	Stocks
Dividend	GEN ELEC PLC ADR	94.06	Stocks
Dividend	GENERAL ELECTRIC CO	49.40	Stocks
Dividend	GRAND MET PLC LTD SPNSR ADR	91.32	Stocks
Dividend	HEINEKEN NV ADR	8.51	Stocks
Dividend	HOECHST AG ADR NEW	42.68	Stocks
Dividend	HSBC HLDG PLC SPND ADR NEW	72.78	Stocks
Dividend	INTL BUSINESS MACHINES CORP	21.00	Stocks
Dividend	LOCKHEED MARTIN CORP	36.00	Stocks
Dividend	MANNESMANN AG SP ADR	26.53	Stocks
Dividend	MATSUSHITA EL INDL ADR	11.37	Stocks
Dividend	MITSUI MARINE&FIRE INS LTD ADR	14.71	Stocks
Dividend	MOBIL CORP DELAWARE	42.40	Stocks
Dividend	NATIONAL POWER PLC ADS	147.70	Stocks

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DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 842 113487 AE 022

DETAIL OF DIVIDENDS AND DISTRIBUTIONS

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
ABN AMRO ADR								
09/26/97	18.64	18.64						
ALCATEL ALSTHOM SPON ADR								
07/22/97	54.38	54.38						8.16
ALLIED DOMECQ PLC ADR SPON								
03/07/97	75.51	75.51						11.33
08/04/97	47.65	47.65						7.15
AMERITECH CORP								
02/01/97	22.60	22.60						
05/01/97	22.60	22.60						
08/01/97	22.60	22.60						
11/01/97	16.95	16.95						
ARCHER DANIELS MIDLAND								
03/03/97	6.05	6.05						
ASTRA AB CL B ADS								
05/12/97	26.74	26.74						4.01
BANKAMERICA CORP								
03/12/97	15.25	15.25						
06/12/97	15.25	15.25						
09/12/97	9.15	9.15						
12/12/97	9.15	9.15						
CADBURY SCHW PLC ADR 10 ORD NW								
06/02/97	62.20	62.20						9.33
12/01/97	18.53	18.53						
COMPAGNIE GENERALE DE EAUX ADR								
07/24/97	47.84	47.84						7.18
DAIMLERBENZ AKTIENGESELLSCHAFT								
06/04/97	18.82	18.82						
DEERE & CO								
02/03/97	12.00	12.00						
05/01/97	12.00	12.00						
08/01/97	12.00	12.00						
11/03/97	7.00	7.00						
DEUTSCHE BANK AG SP ADR								
06/02/97	33.99	33.99						
DU PONT EI DE NEMOURS & CO								
03/14/97	27.93	27.93						

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 842 113487 AE 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
DU PONT EI DE NEMOURS & CO								
06/12/97	18.27	18.27						
09/12/97	13.55	13.55						
12/13/97	13.55	13.55						
ELF AQUITAINE SPON ADR								
07/10/97	98.05	98.05						14.71
EMPRESA NATL DE EL SA ADR								
01/27/97	39.03	39.03						7.81
07/30/97	62.60	62.60						12.52
ENI SPA AMER DEP RCPT								
07/11/97	47.43	47.43						
FIAT SPA PREF AM DEP SH								
08/11/97	30.91	30.91						
GEN ELEC PLC ADR								
04/11/97	21.11	21.11						3.17
10/17/97	72.95	72.95						10.94
GENERAL ELECTRIC CO								
01/27/97	15.60	15.60						
04/25/97	15.60	15.60						
07/25/97	10.40	10.40						
10/27/97	7.80	7.80						
GRAND MET PLC LTD SPNSR ADR								
04/11/97	61.12	61.12						9.16
10/10/97	30.20	30.20						
HEINEKEN NV ADR								
05/30/97	4.98	4.98						0.75
10/15/97	3.53	3.53						0.53
HOECHST AG ADR NEW								
05/29/97	42.68	42.68						10.67
HSBC HLDG PLC SPND ADR NEW								
05/07/97	52.58	52.58						7.89
10/16/97	20.20	20.20						3.03
INTL BUSINESS MACHINES CORP								
03/10/97	7.00	7.00						
06/10/97	6.00	6.00						
09/10/97	4.00	4.00						
12/10/97	4.00	4.00						
LOCKHEED MARTIN CORP								
03/31/97	10.00	10.00						

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
LOCKHEED MARTIN CORP								
06/30/97	10.00	10.00						
09/30/97	8.00	8.00						
12/31/97	8.00	8.00						
MANNESMANN AG SP ADR								
06/26/97	26.53	26.53						
MATSUSHITA EL INDL ADR								
07/08/97	6.08	6.08						0.91
12/17/97	5.29	5.29						0.79
MITSUI MARINE&FIRE INS LTD ADR								
07/16/97	14.71	14.71						2.21
MOBIL CORP DELAWARE								
03/10/97	10.60	10.60						
06/10/97	10.60	10.60						
09/10/97	10.60	10.60						
12/10/97	10.60	10.60						
NATIONAL POWER PLC ADS								
01/27/97	36.04	36.04						8.41
08/11/97	111.66	111.66						16.75
NESTLE SPON ADR REP REG SHR								
06/27/97	62.07	62.07						9.31
NKK CORP ADR								
07/16/97	14.77	14.77						
NOVARTIS AG ADR								
05/15/97	38.79	38.79						5.82
PHILIP MORRIS CO INC								
01/10/97	58.80	58.80						
04/10/97	28.80	28.80						
07/10/97	28.80	28.80						
10/10/97	28.80	28.80						
RHONE-POULENC AMER DEPOSIT SHS								
07/09/97	65.68	65.68						
RICOH LTD ADR								
07/10/97	10.47	10.47						1.57
12/22/97	6.35	6.35						0.95
ROYAL DUTCH PETE NY RG 5 GLDR								
06/03/97	39.18	39.18						5.88
ROYAL DUTCH PETE NY 1.25 GU								
10/01/97	24.59	24.59						3.69

DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1260 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
SEARS ROEBUCK & CO								
01/02/97	10.35	10.35						
04/01/97	10.35	10.35						
07/01/97	10.35	10.35						
10/01/97	6.90	6.90						
SOCIETE GENERALE SP ADR								
06/12/97	53.18	53.18						
SONY CORP ADR 1974 NEW								
07/08/97	15.16	15.16						2.27
12/08/97	6.34	6.34						0.95
TRAVELERS GROUP INC								
02/21/97	15.00	15.00						
05/23/97	9.75	9.75						
08/22/97	6.75	6.75						
11/26/97	6.75	6.75						
UNILEVER PLC AMER SHARES								
06/02/97	44.12	44.12						6.62
12/29/97	13.95	13.95						2.09
ZURICH INSURANCE CO REG ADR								
07/11/97	50.70	50.70						
Total	2,263.43	2,263.43	0.00	0.00	0.00	0.00	0.00	19[illegible].56
ACTIVE ASSETS MONEY TRUST								
1997	365.00	365.00						
Total	365.00	365.00	0.00	0.00	0.00	0.00	0.00	0.00

* Report this amount on Schedule D (Form 1040), line 13, column (G).
** Report this amount on Schedule D (Form 1040), line 25.

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DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-113487 NICK JOE RAHALL II 1-01-97 THRU 12-31-97

LAZARD FRERES ASSET MANAGEMENT MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
SHORT-TERM GAIN/(LOSS) TRANSACTIONS								
60	BG PLC ADR	2-20-96	36.99	2,219.34	1-31-97	35.12	2,107.20	(112.14)
105	BANCO CENTRAL HISPANOAMER ADR	3-21-96	10.99	1,154.37	2-10-97	13.49	1,416.25	261.88
20	YASUDA TR & BKG LTD ADR	4-15-96	62.50	1,250.00	3-05-97	25.62	512.30	(737.70)
10	GENERAL ELECTRIC CO	5-01-96	77.86	778.58	3-10-97	105.25	1,052.46	273.88
5	INTL BUSINESS MACHINES CORP	5-17-96	109.75	548.75	3-10-97	146.12	730.60	181.85
40	DAIMLER-BENZ AG RTS5 13 97	5-06-97	.00	.00	5-07-97	.08	3.12	3.12
0	ASTRA AB CL B ADS	6-13-97	.00	.00	6-13-97	.00	5.32	5.32
50	ABN AMRO ADR	6-10-97	19.25	962.45	7-25-97	23.87	1,193.71	231.26
15	DEUTSCHE BANK AG SP ADR	8-13-96	51.24	768.53	7-25-97	66.25	993.71	225.18
15	ENI SPA AMER DEP RCPT	10-28-96	47.13	706.88	7-25-97	58.94	884.03	177.15
25	GRAND MET PLC LTD SPNSR ADR	11-22-96	31.65	791.25	7-25-97	40.44	1,010.90	219.65
0	FIAT SPA PREF AM DEP SH	8-18-97	.00	.00	8-18-97	.00	6.40	6.40
10	AMERITECH CORP	10-09-96	55.92	559.22	9-10-97	63.44	634.35	75.13
30	SOCIETE GENERALE SP ADR	3-19-97	22.75	682.50	9-10-97	25.75	772.47	89.97
25	ZURICH INSURANCE CO REG ADR	2-18-97	59.25	1,481.25	9-10-97	79.25	1,981.18	499.93
0	TRAVELERS GROUP INC	12-03-97	.00	.00	12-03-97	.00	23.79	23.79
	TOTAL SHORT-TERM GAIN							2,274.51
	TOTAL SHORT-TERM LOSS							(849.84)
	TOTAL SHORT-TERM			11,903.12			13,327.79	1,424.67
LONG-TERM GAIN/(LOSS) TRANSACTIONS								
121	ARCHER DANIELS MIDLAND	8-08-95	15.34	1,856.66	2-05-97	19.12	2,314.05	457.39

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DWR (ACH) (05-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 4137

DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-113487 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

LAZARD FRERES ASSET MANAGEMENT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
LONG-TERM GAIN/(LOSS) TRANSACTIONS								
45	ALCATEL ALSTHOM SPON ADR	6-09-95	18.50	832.50	3-10-97	22.25	1,001.21	168.71
35	COMPAGNIE GENERALE DE EAUX ADR	9-15-95	20.62	721.81	3-10-97	28.00	979.96	258.15
20	DU PONT EI DE NEMOURS & CO	1-26-94	54.25	1,085.00	3-10-97	112.37	2,247.42	1,162.42
40	HOECHST AG ADR NEW	5-03-94	21.85	874.00	3-10-97	46.37	1,854.93	980.93
25	PHILIP MORRIS CO INC	1-26-94	58.25	1,456.25	3-10-97	137.50	3,437.38	1,981.13
1	ROYAL DUTCH PETE NY RG 5 GLDR	10-27-93	105.00	105.00	3-10-97	178.99	178.99	73.99
4	ROYAL DUTCH PETE NY RG 5 GLDR	9-09-93	101.13	404.50	3-10-97	178.99	715.98	311.48
35	TRAVELERS GROUP INC	1-03-95	16.44	575.31	3-10-97	55.12	1,929.31	1,354.00
55	HONDA MOTOR COMPANY LTD ADR	2-28-96	42.32	2,327.66	3-12-97	60.66	3,336.27	1,008.61
40	ALCATEL ALSTHOM SPON ADR	6-09-95	18.50	740.00	7-25-97	25.25	1,009.96	269.96
20	BANKAMERICA CORP	11-29-95	32.06	641.25	7-25-97	71.25	1,424.95	783.70
15	CADBURY SCHW PLC ADR 10 ORD NW	6-19-95	30.38	455.63	7-25-97	39.56	593.42	137.79
15	DAIMLERBENZ AKTIENGESELLSCHAFT	5-13-96	53.75	806.25	7-25-97	82.93	1,244.01	437.76
25	DEERE & CO	2-27-96	39.82	995.45	7-25-97	56.00	1,399.95	404.50
15	DU PONT EI DE NEMOURS & CO	1-26-94	27.13	406.88	7-25-97	66.68	1,000.27	593.39
25	ELF AQUITAINE SPON ADR	11-29-93	35.00	875.00	7-25-97	54.56	1,364.01	489.01
15	ENDESA SA ADS	3-07-96	53.50	802.50	7-25-97	82.37	1,235.58	433.08
10	GENERAL ELECTRIC CO	5-01-96	38.93	389.29	7-25-97	72.44	724.35	335.06
5	HSBC HLDG PLC SPND ADR NEW	9-15-95	144.27	721.37	7-25-97	332.49	1,662.44	941.07
10	INTL BUSINESS MACHINES CORP	5-17-96	54.88	548.75	7-25-97	106.62	1,066.21	517.46
5	LOCKHEED MARTIN CORP	3-30-95	52.20	260.90	7-25-97	101.68	508.42	247.44
20	NATIONAL POWER PLC ADS	3-23-94	28.80	575.97	7-25-97	39.12	782.47	206.50
10	NESTLE SPON ADR REP REG SHR	3-08-95	49.88	498.75	7-25-97	62.87	628.72	129.97
20	NOVARTIS AG ADR	6-07-95	34.88	697.64	7-25-97	78.50	1,569.94	872.30
55	RHONE-POULENC AMER DEPOSIT SHS	2-26-96	25.13	1,381.88	7-25-97	41.75	2,296.17	914.29

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DWR-2(CR) (85-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 8117

DEAN WITTER REYNOLDS INC.
Investment Consulting Services

ACCESS

* * CAPITAL GAINS SCHEDULE * *

642-113487 NICK JOE RAHALL II

1-01-97 THRU 12-31-97

LAZARD FRERES ASSET MANAGEMENT

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
LONG-TERM GAIN/(LOSS) TRANSACTIONS								
10	RICOH LTD ADR	1-11-96	55.45	554.50	7-25-97	70.00	699.97	145.47
15	SEARS ROEBUCK & CO	1-03-95	25.22	378.36	7-25-97	61.81	927.15	548.79
3	SONY CORP ADR 1974 NEW	9-20-93	41.75	125.25	7-25-97	93.50	280.49	155.24
3	SONY CORP ADR 1974 NEW	10-27-93	44.88	134.63	7-25-97	93.50	280.49	145.86
19	SONY CORP ADR 1974 NEW	9-09-93	44.50	845.50	7-25-97	93.50	1,776.44	930.94
20	TRAVELERS GROUP INC	1-03-95	16.44	328.75	7-25-97	70.19	1,403.70	1,074.95
10	UNILEVER PLC AMER SHARES	2-01-96	83.00	830.00	7-25-97	117.31	1,173.09	343.09
70	NKK CORP ADR	4-30-96	31.82	2,227.05	8-28-97	15.21	1,064.55	(1,162.50)
10	ELF AQUITAINE SPON ADR	11-29-93	35.00	350.00	9-10-97	60.50	604.97	254.97
10	HOECHST AG ADR NEW	5-03-94	21.85	218.50	9-10-97	43.12	431.23	212.73
2	ROYAL DUTCH PETE NY 1.25 GU	11-29-93	25.06	50.13	9-10-97	52.56	105.12	54.99
8	ROYAL DUTCH PETE NY 1.25 GU	10-27-93	26.25	210.00	9-10-97	52.56	420.49	210.49
	* TOTAL LONG-TERM 28% RATE GAIN/(LOSS)							6,594.31
	TOTAL ALL LONG-TERM GAIN							19,547.61
	TOTAL ALL LONG-TERM LOSS							(1,162.50)
	TOTAL ALL LONG-TERM			27,288.95			45,674.06	18,385.11
	TOTAL ACCOUNT GAIN/(LOSS)			39,192.07			59,001.85	19,809.78

* Long-Term 28% Rate Gain/(Loss) includes gains or losses realized from securities sold prior to May 7, 1997, which were held for more than 1 year, and gains or losses on securities sold after July 28, 1997, which were held for more than 1 year but not more than 18 months.

This Capital Gains Schedule is not an official tax document. It is provided for informational purposes only.

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DWR-1ACCE (05-97) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change.

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

Your Account Executive
MR PEAR/MR HANDO
DEAN WITTER REYNOLDS INC
1775 EYE STREET, NW SUITE 200
WASHINGTON, DC 20006
(202) 862-9000

Account Number AE
642 122048 022

AAA Customer Service
1-800-869-DEAN

THE HONORABLE NICK JOE RAHALL II 003965
ACCESS #3-EAGLE ASSET MGMT
1301 DELAWARE AVENUE SW
APT #409N
WASHINGTON DC 20024 3913

Asset Summary (Year End)

	Value	Percent of assets
Money Market Funds	$2,163.83	2.0%
Stocks	101,830.30	98.0
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$103,994.13	100.0%
Cash	20.00	
Total Asset Value	$104,014.13	

Income Summary for 1997

Money Market Funds	$232.17
Stocks	395.13
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	0.00
Total Income	$627.30
Taxable Income	$627.30
Tax Exempt Income	$0.00

Activity Summary for 1997

Total Asset Value as of January 01 1997 $141,394.69

Summary of Activity Categories for 1997

Income	$627.30
Deposits	0.00
Assets Sold	90,584.42
Other	-13,510.08
Checking	0.00
Visa	0.00
Withdrawals	-46,000.00
Assets Bought	-39,150.00

Changes in Asset Value for 1997

Value of Priced Assets as of 1/1/97	$131,762.50
Assets Bought	39,150.00
Assets Received	0.00
Assets Sold	-90,584.42
Assets Delivered	0.00
Change in Value of Priced Assets	21,502.22
Value of Priced Assets as of 12/31/97	101,830.30

Net Change in Asset Value -29,932.20

Total Asset Value as of December 31 1997 $104,014.13

The Active Assets Account provides up to $50 million in securities protection; $500,000 in coverage through the Securities Investor Protection Corp., and $49.5 million through independent third party coverage purchased by Dean Witter.

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

THE HONORABLE NICK JOE RAHALL II
ACCESS #3-EAGLE ASSET MGMT

Account Number AE
642 122048 022

YEAR END ASSETS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	20.00	---	---
ACTIVE ASSETS MONEY TRUST	2,163.83	2.0%	115
Total Cash and Money Market Funds	$2,183.83	2.0%	$115

Annualized 30 Day Yields

Active Assets Money Trust	5.32%
Active Assets Govt. Sec. Tr.	4.98%
Active Assets California Tax Free	2.97%
Active Assets Tax Free Trust	5.21%
Dean Witter Insured Account	4.88%
Active Assets Deposit Account	4.88%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
425	BANK PLUS CORP.	12 5/8	5,365.62	5.2%	0	0.00%	BPLS	
200	CAPSTAR HOTEL CO	34 5/16	6,862.50	6.6%	0	0.00%	CHO	
400	CASH AMER INTERNATIONAL INC	12 15/16	5,175.00	5.0%	20	.38%	PWN	Next Dividend Payable 02/98
300	CLAIRES STORES	19 7/16	5,831.25	5.6%	36	.61%	CLE	Next Dividend Payable 02/98
100	COHERENT INC	35 1/8	3,512.50	3.4%	0	0.00%	COHR	
200	COMPUTER PRODUCTS INC	22 5/8	4,525.00	4.4%	0	0.00%	CPRD	
1,800	ENVIROSOURCE INC	3	5,400.00	5.2%	0	0.00%	ENSO	
500	GENESCO INC	12 3/4	6,375.00	6.1%	0	0.00%	GCO	
200	HOUGHTON MIFFLIN CO	38 3/8	7,675.00	7.4%	100	1.30%	HTN	Next Dividend Payable 02/98
300	HUGHES SUPPLY INC	34 15/16	10,481.25	10.1%	96	.91%	HUG	Next Dividend Payable 02/98
400	IMCO RECYCLING	16 1/16	6,425.00	6.2%	80	1.24%	IMR	Next Dividend Payable 03/98
200	INTERIM SVCS INC	25 7/8	5,175.00	5.0%	0	0.00%	IS	
133	LEGG MASON INC	55 15/16	7,439.68	7.2%	58	.78%	LM	Next Dividend Payable 01/12/98
200	LENNAR CORPORATION	21 9/16	4,312.50	4.1%	10	.23%	LEN	Next Dividend Payable 02/98
200	LNR PROPERTY CORP	23 5/8	4,725.00	4.5%	10	.21%	LNR	Next Dividend Payable 02/98
100	PROTEIN DESIGN LABS	40	4,000.00	3.8%	0	0.00%	PDLI	
200	SYKES ENTERPRISES INC	19 1/2	3,900.00	3.8%	0	0.00%	SYKE	
400	SYMMETRICOM INC	11 5/8	4,650.00	4.4%	0	0.00%	SYMM	
Total Stocks			$101,830.30	98.0%	$410	.40%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	104,014.13	$525

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DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

THE HONORABLE NICK JOE RAHALL II
ACCESS #3-EAGLE ASSET MGMT

Account Number 642 122048 AE 022

DETAIL OF DIVIDENDS AND DISTRIBUTIONS

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC.								
CASH AMER INTERNATIONAL INC								
02/18/97	5.00	5.00						
05/20/97	5.00	5.00						
08/19/97	5.00	5.00						
11/18/97	5.00	5.00						
CLAIRES STORES								
02/19/97	15.00	15.00						
05/21/97	15.00	15.00						
08/20/97	9.00	9.00						
11/19/97	9.00	9.00						
HOUGHTON MIFFLIN CO								
02/26/97	24.00	24.00						
05/28/97	24.00	24.00						
08/27/97	25.00	25.00						
11/26/97	25.00	25.00						
HUGHES SUPPLY INC								
08/15/97	22.50	22.50						
11/14/97	24.00	24.00						
IMCO RECYCLING								
03/28/97	10.00	10.00						
06/30/97	20.00	20.00						
09/30/97	20.00	20.00						
12/31/97	20.00	20.00						
LEGG MASON INC								
01/13/97	26.00	26.00						
04/07/97	26.00	26.00						
07/08/97	26.00	26.00						
10/27/97	14.63	14.63						
LENNAR CORPORATION								
02/17/97	5.00	5.00						
05/15/97	5.00	5.00						
08/15/97	5.00	5.00						
11/17/97	2.50	2.50						
LNR PROPERTY CORP								
11/17/97	2.50	2.50						
Total	395.13	395.13	0.00	0.00	0.00	0.00	0.00	0.00

IMPORTANT TAX INFORMATION – PLEASE RETAIN FOR YOUR RECORDS

DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

THE HONORABLE NICK JOE RAHALL II
ACCESS #3-EAGLE ASSET MGMT

Account Number 642 122048 AE 022

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
ACTIVE ASSETS MONEY TRUST 1997	232.17	232.17						
Total	232.17	232.17	0.00	0.00	0.00	0.00	0.00	0.00

* Report this amount on Schedule D (Form 1040), line 13, column (G).
** Report this amount on Schedule D (Form 1040), line 26.

IMPORTANT TAX INFORMATION – PLEASE RETAIN FOR YOUR RECORDS

DEAN WITTER REYNOLDS INC.
Investment Consulting Services

VISION

* * CAPITAL GAINS SCHEDULE * *

642-122048 THE HONORABLE NICK JOE RAHALL 1-01-97 THRU 12-31-97

EAGLE ASSET MANAGEMENT, INC MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
SHORT-TERM GAIN/(LOSS) TRANSACTIONS								
300	VERITAS DGC INC	9-06-96	12.25	3,675.00	1-31-97	19.00	5,699.81	2,024.81
200	CLAIRES STORES	1-08-97	13.00	2,600.00	7-28-97	21.37	4,274.85	1,674.85
200	FOOTSTAR INC	2-07-97	23.50	4,700.00	8-26-97	24.81	4,962.33	262.33
0	LEGG MASON INC	10-06-97	.00	.00	10-06-97	.00	17.51	17.51
	TOTAL SHORT-TERM GAIN							3,979.50
	TOTAL SHORT-TERM LOSS							.00
	TOTAL SHORT-TERM			10,975.00			14,954.50	3,979.50
LONG-TERM GAIN/(LOSS) TRANSACTIONS								
1,000	MARINE DRILLING CO	12-08-95	4.75	4,750.00	1-22-97	17.50	17,499.41	12,749.41
700	NATL EDUCATION CORP	11-06-95	8.00	5,600.00	5-05-97	20.50	14,349.52	8,749.52
300	COMPUTATIONAL SYSTEMS INC	10-27-95	15.00	4,500.00	6-03-97	14.75	4,424.85	(75.15)
500	GENESCO INC	11-13-95	3.63	1,812.50	6-18-97	13.62	6,812.27	4,999.77
600	SODAK GAMING INC	11-15-95	9.50	5,700.00	7-25-97	10.87	6,524.78	824.78
200	BANK PLUS CORP.	2-16-96	.00	.00	7-28-97	11.87	2,374.92	2,374.92
200	COMPUTER PRODUCTS INC	2-13-96	11.50	2,300.00	7-28-97	27.37	5,474.81	3,174.81
400	GENESCO INC	11-13-95	3.63	1,450.00	7-28-97	13.25	5,299.82	3,849.82
100	INTERIM SVCS INC	10-18-95	27.25	2,725.00	7-28-97	45.56	4,556.09	1,831.09
100	LEGG MASON INC	5-16-96	33.38	3,337.50	7-28-97	59.12	5,912.30	2,574.80
900	AMPEX INC CL A	10-18-95	3.56	3,206.25	11-21-97	2.69	2,418.66	(787.59)

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DWR-(ACM) (05-92) Information contained herein is based on data obtained from recognized statistical services, issuer reports or communications, or other sources believed to be reliable. However, we cannot make any representation as to its accuracy or completeness. Any statements non-factual in nature constitute only current opinions, which are subject to change. 0117

DEAN WITTER REYNOLDS INC.
Investment Consulting Services

VISION

* * CAPITAL GAINS SCHEDULE * *

642-122048 THE HONORABLE NICK JOE RAHALL

1-01-97 THRU 12-31-97

EAGLE ASSET MANAGEMENT, INC.

MR PEAR/MR HANDO 022

Quantity	Security Description	PURCHASE INFORMATION Date	Per Unit	Total Cost	SALE INFORMATION Date	Per Unit	Proceeds	Realized Gain or (Loss)
LONG-TERM GAIN/(LOSS) TRANSACTIONS								
	* TOTAL LONG-TERM 28% RATE GAIN/(LOSS)							21,498.93
	TOTAL ALL LONG-TERM GAIN							41,128.92
	TOTAL ALL LONG-TERM LOSS							(862.74)
	TOTAL ALL LONG-TERM			35,381.25			75,647.43	40,266.18
	TOTAL ACCOUNT GAIN/(LOSS)			46,356.25			90,601.93	44,245.68

* Long-Term 28% Rate Gain/(Loss) includes gains or losses realized from securities sold prior to May 7, 1997, which were held for more than 1 year, and gains or losses on securities sold after July 28, 1997, which were held for more than 1 year but not more than 18 months.

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING DECEMBER 31, 1997

Your Account Executive
TIMOTHY HANDO
VICE PRESIDENT - INVESTMENTS
DEAN WITTER REYNOLDS INC
1775 EYE STREET, NW SUITE 200
WASHINGTON, DC 20006
(202) 862-9000

Account Number 642 115917 AE 145

Date of Birth May 20, 1949

NICK JOE RAHALL II 004353
1301 DELAWARE AVENUE SW #409N
WASHINGTON DC 20024 3913

IRA Standard
Dated 03/22/94

Asset Summary

	Value	Percent of assets
Money Market Funds	$6,094.89	15.1%
Stocks	34,087.50	84.9
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$40,182.39	100.0%
Cash	0.00	
Total Asset Value	$40,182.39	

Income Summary

	This Month	Year To Date
Money Market Funds	$56.98	$355.29
Stocks	15.00	74.50
Municipal Bonds	0.00	0.00
Corporate Fixed Income	0.00	0.00
Government Securities	0.00	0.00
Mutual Funds	0.00	100.81
Unit Investment Trusts	0.00	0.00
Certificates of Deposit	0.00	0.00
Other	0.00	0.00
Total Income	$71.98	$530.60

Activity Summary

Total Asset Value as of November 30 1997		**$38,749.01**
Cash/Money Market Activity for December		
Closing Balance as of 11/30	$13,774.01	
Income	71.98	
Deposits	0.00	
Assets Sold	6,532.32	
Other	0.00	
Withdrawals	0.00	
Assets Bought	-14,283.42	
Closing Balance as of 12/31	6,094.89	
Net Change Cash/Money Market Activity		**-7,679.12**
Changes in Asset Value for December		
Value of Priced Assets as of 11/30	$24,975.00	
Assets Bought	14,283.42	
Assets Received	0.00	
Assets Sold	-6,532.32	
Assets Delivered	0.00	
Change in Value of Priced Assets	1,361.40	
Value of Priced Assets as of 12/31	34,087.50	
Net Change in Asset Value		**9,112.50**
Total Asset Value as of December 31 1997		**$40,182.39**

Please see page 4 for your Account's Retirement Recap.

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING DECEMBER 31, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number AE
642 115917 145

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
DEAN WITTER LIQUID ASSET FUND	6,094.89	15.1%	318
Total Cash and Money Market Funds	$6,094.89	15.1%	$318

Annualized 30 Day Yields	
Dean Witter Liquid Asset Fund	5.22%
Dean Witter US Govt Money Mkt	4.83%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
100	BOEING CO	48 15/16	4,893.75	12.2%	56	1.14%	BA	Next Dividend Payable 03/98
100	DIAMOND OFFSHORE DRILLING INC	48 1/8	4,812.50	12.0%	28	.58%	DO	Next Dividend Payable 03/98
200	GREEN TREE FINANCIAL CORP	26 3/16	5,237.50	13.1%	70	1.33%	GNT	Next Dividend Payable 03/98
150	HOUSEHOLD INTL INC	127 5/8	19,143.75	47.6%	252	1.31%	HI	Next Dividend Payable 01/15/98
Total Stocks			$34,087.50	84.9%	$406	1.19%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	40,182.39	$724

ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	12-10	Sold	150	SUNAMERICA INC	44 1/2	6,532.32	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
	12-19	Bought	100	DIAMOND OFFSHORE DRILLING INC	45 9/16	4,644.87	PREFERENTIAL RATE
	12-19	Bought	100	BOEING CO	50 1/8	5,101.52	PREFERENTIAL RATE
	12-19	Bought	200	GREEN TREE FINANCIAL CORP	22 3/16	4,537.03	PREFERENTIAL RATE

Income	Date	Activity	Description	Amount	Income Category
	12-05	Dividend	SUNAMERICA INC	15.00	Stocks

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Client Statement

Through The Courtesy Of

Securities Account

D.H. Blair & Co., Inc.
44 Wall Street, New York, N.Y. 10005

For The Period
October 1 - December 31, 1997

Account Number:
0XT-515316-FG

Total Account Net Worth

	OPENING	CLOSING
PRICED SECURITIES VALUE	$30,715.20	$17,289.40
CASH BALANCE	$496.31	$496.31
TOTAL NET WORTH	**$31,211.51**	**$17,785.71**

Income & Distributions

	THIS PERIOD	YEAR TO DATE
TOTAL INCOME	$.00	$.00

Your Account Executive: ANTHONY PALMER
D H BLAIR & CO INC
44 WALL ST
NEW YORK NY 10005
Telephone Number: 212-495-4000

NICK JOE RAHALL
1301 DELAWARE AVE SW APT 409N
WASHINGTON DC 20024-3913

Portfolio Detail

	QUANTITY	CURRENT PRICE	CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
CONVERSION TECHNOLOGIES INTERNATIONAL INC	4,800	0.938	$4,502.40				
CONVERSION TECHNOLOGIES INTERNATIONAL INC WARRANTS CLA EXPIRES 05/15/2001	1,000	0.156	$156.00				
CONVERSION TECHNOLOGIES INTERNATIONAL INC WARRANTS CLASS B EXPIRES 05/15/2001	1,000	0.031	$31.00				
HEURISTIC DEVELOPMENT GROUP INC UNITS 1 COM 1 CLA WTS 1 CLB WTS EXP 02/10/2002 BOOK ENTRY ONLY	800	3.250	$2,600.00				
VIDEO UPDATE INC CLASS A	6,000	2.000	$10,000.00				
PRICED SECURITIES VALUE			**$17,289.40**				

Wheat First Butcher Singer
Serving Investors Since 1934

Client Statement

Duplicate For The Account Of:
NICK JOE RAHALL II AS CUST FOR
REBECCA A RAHALL UNDER THE
WV GIFTS TO MINORS ACT

Capital Resource Account

Mail To:
JAMES T SHEPHERD CPA
19-F MALLARD COURT
BECKLEY WV 25801-3615

Account Number
8K08 6540-0700

December 1, 1997 - December 31, 1997
Page 1 of 4

Investment Objective
TRADING, SPECULATION
OR HIGH INCOME

Your Financial Consultant
EDWARD G RAHALL

122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

304-252-6221

Tax I.D. No.
232-06-2218

IF YOU ARE ELIGIBLE, YOU MAY BENEFIT FROM MAKING A $2,000 1998 ROTH IRA CONTRIBUTION. YOU MAY ALSO BENEFIT FROM CONVERTING YOUR EXISTING TRADITIONAL IRA INTO A ROTH IRA. READ INVESTOR'S SPECTRUM TO LEARN MORE--THEN TALK WITH YOUR FINANCIAL CONSULTANT.

Portfolio Summary

COMPOSITION	ENDING BALANCE MARKET VALUE	PERCENT OF PORTFOLIO
CASH AND MONEY MARKET	65,792.04	69.1
STOCKS	18,987.90	20.0
MUTUAL FUNDS	10,387.76	10.9
TOTAL ESTIMATED PORTFOLIO VALUE	95,167.70	100.0

Income Summary

DESCRIPTION	THIS PERIOD	YEAR TO DATE
MONEY MARKET FUND DIVIDENDS	267.23	2,618.24
CASH DIVIDENDS	244.77	289.16
TOTAL INCOME	512.00	2,907.40

Current Portfolio

TYPE/DESCRIPTION	SYMBOL	QUANTITY	CURRENT PRICE	ESTIMATED VALUE	ESTIMATED ANNUAL INCOME	CURRENT YIELD
Cash and Money Market						
CASH		5,513.78		5,513.78	0	0.0
MONEY MARKET FUND (CRM)		60,278.26	1.0000	60,278.26	2,869	4.7
4.76% AVERAGE YIELD 11/18/97-12/31/97						
TOTAL CASH AND MONEY MARKET				65,792.04	2,869	N/A

---CONTINUED ON NEXT PAGE---

Wheat First Butcher Singer is a trademark of Wheat, First Securities, Inc., Member New York Stock Exchange and Securities Investor Protection Corporation

Attachment 11 - p.1

Wheat First Butcher Singer
Serving Investors Since 1934

Client Statement

Duplicate For The Account Of:
NICK JOE RAHALL II AS CUST FOR
REBECCA A RAHALL UNDER THE
WV GIFTS TO MINORS ACT

Account Number
BK08 6540-0700

December 1, 1997 - December 31, 1997

Current Portfolio continued

TYPE/DESCRIPTION	SYMBOL	QUANTITY	CURRENT PRICE	ESTIMATED VALUE	ESTIMATED ANNUAL INCOME	CURRENT YIELD
Stocks						
APPLEBEES INTL INC	APPB	300	18.0630	5,418.90	24	0.4
INTEGRATED HEALTH SVCS INC	IHS	200	31.1880	6,237.60	4	0.0
VENCOR INC	VC	300	24.4380	7,331.40	0	0.0
TOTAL STOCKS				18,987.90	28	0.1
Mutual Funds						
MFS RESEARCH GROWTH & INCOME FD CL B	MRGBX	361.0740	14.6700	5,296.95	0	0.0
MORGAN STANLEY VALUE FD CL B	MVUBX	504.5410	10.0900	5,090.81	4	0.0
TOTAL MUTUAL FUNDS				10,387.76	5	0.1

Estimated Annual Income and Current Yield refer to dividends and interest income only, and typically do not reflect total return.

TOTAL ESTIMATED PORTFOLIO VALUE	95,167.70	2,902	3.0

Activity Summary

	ADDITIONS	SUBTRACTIONS	NET AMOUNT
BEGINNING CASH AND MONEY MARKET			37,710.38
DIVIDENDS AND INTEREST	512.00	.00	512.00
SECURITY SALES	36,176.84	.00	36,176.84
SECURITY PURCHASES	.00	8,609.07	-8,609.07
OTHER ACTIVITY	1.89	.00	1.89
TOTALS	36,690.73	8,609.07	28,081.66
ENDING CASH AND MONEY MARKET			65,792.04

Account Activity

DATE	TRANSACTION	QUANTITY	DESCRIPTION	TRANSACTION PRICE	AMOUNT
Dividends and Interest					
12 01	DIVIDEND		COLUMBIA/HCA HEALTHCARE CORP 120197 200		4.00
12 15	DIVIDEND		DU PONT E.I. DE NEMOURS AND COMPANY 121397 100 AS OF 12/13/97		31.50
12 15	DIVIDEND		INTERPUBLIC GRP CO INC 121597 100		13.00

---CONTINUED ON NEXT PAGE---

Wheat First Butcher Singer is a trademark of Wheat, First Securities, Inc., Member New York Stock Exchange and Securities Investor Protection Corporation

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

REP ACCOUNT	PAGE
8K08 6540-0700	1 OF 5
TAXPAYER ID: 232-06-2218	

FOR QUESTIONS CALL:
(304)252-6221
EDWARD G RAHALL
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II AS CUST FOR
REBECCA A RAHALL UNDER THE
WV GIFTS TO MINORS ACT
110 1/2 MAIN ST
BECKLEY WV 25801-4611

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

ISSUE DATE:02/11/98

DIVIDENDS AND DISTRIBUTIONS

DESCRIPTION		ACTIVITY	AMOUNT	IRS BOX	COUNTRY
ALBERTSONS INC		DIVIDEND	$32.00	1B	
CRT MONEY MARKET *	(1)	DIVIDEND	$2,729.87	1B	
COLUMBIA/HCA HLTH CARE		DIVIDEND	$4.00	1B	
DU PNT EI DE NEMOURS &CO		DIVIDEND	$31.50	1B	
INTERPUBLIC GROUP CO IN		DIVIDEND	$13.00	1B	
MFS RESEARCH G & I CL B		DIVIDEND	$0.39	1B	
MFS RESEARCH G & I CL B		SHORT TERM CAP	$166.18	1B	
MORGAN STANLEY VALUE FD		DIVIDEND	$4.51	1B	
MORGAN STANLEY VALUE FD		SHORT TERM CAP	$25.58	1B	
YORK INTL CORP NEW		DIVIDEND	$12.00	1B	
TOTAL DIVIDENDS			$3,019.03		
MFS RESEARCH G & I CL B		20% RATE GAIN	$0.21	1C	
MFS RESEARCH G & I CL B		28% RATE GAIN	$1.68	1C	
TOTAL CAPITAL GAINS			$1.89		

IRS BOX 1099-DIV -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-DIV, OMB NO. 1545-0110	
1A. GROSS DIVIDENDS ON STOCK (TOTAL OF 1B, 1C, 1D & 1E)	$3,020.92
1B. ORDINARY DIVIDENDS	$3,019.03
1C. CAPITAL GAIN DISTRIBUTIONS	$1.89
1D. NONTAXABLE DISTRIBUTIONS	$0.00
1E. INVESTMENT EXPENSES	$0.00
2. FEDERAL INCOME TAX WITHHELD	$0.00
3. FOREIGN TAX PAID	$0.00
5. LIQUIDATION DISTRIBUTIONS	$0.00

(1) INCLUDES A SERVICE FEE OF $111.63 THAT MAY BE DEDUCTIBLE

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SALOMON SMITH BARNEY

Ref. 00006111 00029058

A Member of TravelersGroup

Select Client Statement

December 1 - December 31, 1997

685L970250669200000611 1IP 297365AO01 IPFOL014A
JAMES T SHEPHERD
FOR REBECCA ASHLEY RAHALL
LYNCH, SHEPHERD AND COMPANY
19F MALLARD COURT
BECKLEY WV 25801-3615

Your Broker/Dealer is
SMITH BARNEY INC
Your Financial Consultant

PETER T JOSEPH
701 MAIN STREET
SUITE 100
STROUDSBURG PA 18360
717-421-3100

Select Service Center:1-800-423-7248
Branch. 800-445-2291

Account number 685-06692-16 025

Copies of this statement have also been sent to:

JAMES T SHEPHERD
ALAN BLAKE
NICK J. RAHALL II

Copy for the account of NICK JOE RAHALL II ACF REBECCA ASHLEY RAHALL UGTMA/WV
2269 RAYBURN BUILDING WASHINGTON DC

Account value

	Last period	This period	%
Cash balance	$ .03	$ 100.05	.04
Money funds	28,157.59	28,357.18	10.68
Accrued money fund dividends	54.53	0.00	
Common stocks & options	229,856.90	237,632.20	89.31
Net value	$ 268,069.05	$ 266,089.43	100

Earnings summary

	This period	This year Taxable	This year Non-taxable
Interest	$ .05	$ .35	$ 0.00
Dividends	409.50	2,134.50	0.00
Money funds earnings	180.62	1,365.12	0.00
Total	$ 590.17	$ 3,499.97	$ 0.00

Gain/loss summary

	This period	This year
Unrealized gain or (loss)	$ 126,114.71	*Not applicable*

Salomon Smith Barney is a service mark of Smith Barney Inc. Smith Barney Inc and Salomon Brothers Inc are affiliated but separately registered broker/dealers under common control of Salomon Smith Barney Holdings Inc. Salomon Brothers Inc and Salomon Smith Barney Holdings Inc have been licensed to use the Salomon Smith Barney service mark

SALOMON SMITH BARNEY

Select Client Statement
December 1 - December 31, 1997

Ref: 00006111 00029059

A Member of TravelersGroup

NICK JOE RAHALL II ACF

Account number 685-06692-16 025

Cash and money funds balance

	This period	This year
Opening balance	**$ 28,167.62**	
Withdrawals	-290.58	-1,109.53
Interest credited	.05	
Dividends credited	409.50	
Money funds earnings reinvested	180.62	
Closing balance	**$ 28,457.23**	

Portfolio summary

	This period	Year-to-date
Opening value of securities	258,089.02	196,779.25
+ Opening cash balance	.03	100.00
= Opening portfolio balance	258,089.05	196,879.25
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	-290.58	-1,109.53
Adjusted opening value	257,778.49	195,769.72
Closing value of securities	265,989.38	265,989.38
+ Closing cash balance	100.05	100.05
= Closing portfolio value	266,089.43	266,089.43

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, Gold Card payments, FMA Money Card activity, checks written, and Money funds/insured cash deposit transfers.

Portfolio details

The values of your holdings are as of 12/31/97. Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated income (annualized)
28,357.18	SB MONEY FUNDS CASH PORT CL A	$ 28,357.18		5.08 % $ 1,440.54
Total money funds		**$ 28,357.18**	**$ 0.00**	**5.07 % $ 1,440.54**

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
200	AMERICAN EXPRESS CO SYMBOL: AXP/RATING: B+	03/13/95	$ 6,719.46	$ 33.018	$ 89.25	$ 17,850.00	$ 11,130.54	LT	1.008 % $ 180.00
300	AMGEN INC SYMBOL: AMGN/RATING: B		Please provide		54.125	16,237.50	Not available		
200	CITICORP SYMBOL: CCI/RATING: B	12/16/92	3,042.79	19.36	126.436	25,287.90	21,344.81	LT	1.66 420.00

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SALOMON SMITH BARNEY

A Member of TravelersGroup

Ref. 00000111 00029060

Select Client Statement
December 1 - December 31, 1997

NICK JOE RAHALL II ACF

Account number 685-06692-16 025

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
200	COCA-COLA CO SYMBOL: KO/RATING: A+	12/28/93	$ 4,626.66	$ 22.257	$ 68.688	$ 13,337.60	$ 8,612.04	LT	.838% $ 112.00
100	EASTMAN KODAK CO SYMBOL: EK/RATING: B	08/26/93	5,134.39	50.723	60.563	6,056.30	921.91	LT	2.906 176.00
300	HOME DEPOT INC SYMBOL: HD/RATING: A+	05/20/93	9,467.96	31.083	58.875	17,662.50	8,194.54	LT	.339 60.00
100	HOUSEHOLD INTERNATIONAL INC SYMBOL: HI/RATING: B+	02/03/95	4,181.91	41.115	127.625	12,762.50	8,580.59	LT	1.316 168.00
400	LEUCADIA NATIONAL CORP SYMBOL: LUK/RATING: B	06/01/95	8,595.05	23.625	34.50	13,800.00	4,204.95	LT	.724 100.00
400	MCI COMMUNICATIONS CORP SYMBOL: MCIC/RATING: B		Please provide		42.813	17,125.20	Not available		.116 20.00
200	MCDONALDS CORP SYMBOL: MCD/RATING: A+	08/22/94	5,373.74	26.375	47.75	9,550.00	4,176.26	LT	.661 66.00
400	PFIZER INC SYMBOL: PFE/RATING: A-	06/18/91	5,918.72	14.609	74.563	29,825.20	23,906.48	LT	
400		06/18/91	5,918.71	14.609	74.563	29,825.20	23,906.49	LT	
800			11,837.43	14.787		59,650.40	47,812.97		.911 544.00
200	TIME WARNER HOLDINGS CO SYMBOL: TWX/RATING: B-	01/18/93	6,590.84	32.394	62.00	12,400.00	5,809.16	LT	.58 72.00
200	WM WRIGLEY JR CO SYMBOL: WWY/RATING: A+	05/22/86	10,785.66	53.154	79.563	15,912.60	5,126.94	LT	.996 152.00
Total common stocks and options			$ 78,154.79			$ 237,632.20	$ 0.00**	ST	.47
							$ 0.00**	MT	$ 2,070.00
							$ 126,114.71**	LT	
Total portfolio value			$ 106,611.97			$ 265,989.38	$ 0.00**	ST	1.31
							$ 0.00**	MT	$ 3,610.64
							$ 126,114.71**	LT	

***Unrealized Gain/Loss is only calculated when an original cost basis is available.*

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SMITH BARNEY

A Member of TravelersGroup

Ref: 00004012 00031014

Select Client Statement
1997 Year End Summary

NICK JOE RAHALL II ACF
Account Number 685-06692-16 025 SS # 232-06-2218

Details of 1099 Reported Dividends and Distributions 1997

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for gross dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Gross dividends and other distributions on stock (Box 1a) (Total of boxes 1b, 1c, 1d and 1e)	Ordinary dividends (Box 1b)	Long - Term Capital gain distributions (Box 1c)	Nontaxable distributions (Box 1d)	Investment expenses (Box 1e)	Federal income tax withheld (Box 2)	Foreign tax paid (Box 3)	Liquidation distributions-cash/non-cash (Boxes 5 & 6)
150000100	AMERICAN EXPRESS CO	$ 180.00	$ 180.00						
150000200	CITICORP	420.00	420.00						
150000300	COCA-COLA CO	112.00	112.00						
150000400	EASTMAN KODAK CO	172.00	172.00						
150000500	HOME DEPOT INC	57.00	57.00						
150000600	HOUSEHOLD INTERNATIONAL INC	159.00	159.00						
150000700	LEUCADIA NATIONAL CORP	100.00	100.00						
150000800	MCI COMMUNICATIONS CORP	20.00	20.00						
150000900	MCDONALDS CORP	64.50	64.50						
150001000	PFIZER INC	544.00	544.00						
150001100	SB MONEY FUNDS CASH PORT CL A	1,365.12	1,365.12						
150001200	TIME WARNER HOLDINGS CO	72.00	72.00						
150001300	WM WRIGLEY JR CO	234.00	234.00						
Totals in Boxes 1a-1e		**$ 3,499.62**	**$ 3,499.62**						

Details of Deposits and Withdrawals 1997

This section reflects any deposits or withdrawals made to your account during the year.

Withdrawals

Reference number	Date	Description	Referral number	Amount
220000100	03/21/97	INVESTMENT & ADVISORY SERVICES FROM 03/01/97 TO 05/31/97		$ 256.51
220000200	06/20/97	INVESTMENT & ADVISORY SERVICES FROM 06/01/97 TO 08/31/97		$ 277.86
220000300	09/19/97	INVESTMENT & ADVISORY SERVICES FROM 09/01/97 TO 11/30/97		274.58
220000400	12/18/97	INVESTMENT & ADVISORY SERVICES FROM 12/01/97 TO 02/28/98		290.56
Total				**$ 1,109.53**

1997 YEAR END SUMMARY

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Information provided by

Hanifen, Imhoff Clearing Corp.

1997 Consolidated Tax Information Statement

Tax I.D. Number 84-1181516

PAGE 1

ACCOUNT #	OFF. #	I.C. #
68619825	77A	7740

INVESTMENT CONSULTANT

MICHAEL STRAUS
DUKE & COMPANY INC
45 CROSSWAYS PARK DRIVE WEST
BUILDING #11
WOODBURY NY 11797
212-355-3535

NICK RAHALL
1301 DELAWARE AVE SW
WASHINGTON DC 20024-3929

YOUR TAX I.D. # 236-78-8645

IF THE NAME, ADDRESS OR TAX ID # SHOWN HERE ARE INCORRECT, PLEASE NOTIFY YOUR INVESTMENT CONSULTANT.

DIVIDENDS AND DISTRIBUTIONS (OMB NO. 1545-0110)
1997-1099-DIV SUMMARY

1A	GROSS DIVIDENDS AND OTHER DISTRIBUTIONS ON STOCK.....	$7.50
1B	ORDINARY DIVIDENDS.....	$7.50
1C	CAPITAL GAIN DISTRIBUTIONS.....	$0.00
1D	NONTAXABLE DISTRIBUTION / RETURN OF CAPITAL.....	$0.00
2	FEDERAL INCOME TAX WITHHELD.....	$0.00
3	FOREIGN TAX PAID.....	$0.00
5	LIQUIDATION DISTRIBUTIONS.....	$0.00

NOTE: 1A IS THE SUM OF LINES 1B, 1C AND 1D.

PROCEEDS FROM BROKER TRANSACTIONS (OMB NO. 1545-0715)
1997-1099-B SUMMARY

2	GROSS PROCEEDS LESS COMMISSIONS.....	$5,492.30
4	FEDERAL INCOME TAX WITHHELD.....	$0.00

NOTE: EACH INDIVIDUAL TRANSACTION IS REPORTED TO THE IRS. SEE SECTION 1099-B FOR DETAIL.

1997 DIVIDENDS AND OTHER DISTRIBUTIONS 1099-DIV

GROSS DIVIDENDS AND OTHER DISTRIBUTIONS ON STOCK...
TOTAL AMOUNT — 1A 7.50

DATE	CUSIP	DESCRIPTION	AMOUNT	TOTAL BY ISSUE
03/14/97	580135101	MCDONALDS CORPORATION	7.50	7.50

ORDINARY DIVIDENDS, THIS AMOUNT INCLUDED IN BOX 1A
TOTAL AMOUNT — 1B 7.50

***YOUR TOTAL DIVIDENDS ARE LESS THAN 10.00; THEREFORE THIS AMOUNT WILL NOT BE REPORTED TO THE I.R.S.

FEDERAL INCOME TAX WITHHELD — 2 NONE

THIS IS IMPORTANT TAX INFORMATION AND IS BEING REPORTED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTIONS WILL BE IMPOSED ON YOU IF ANY OF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT WAS NOT BEEN REPORTED BY YOU.

Attachment 13 - p.1

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

Your Account Executive
TIMOTHY HANDO
VICE PRESIDENT - INVESTMENTS
DEAN WITTER REYNOLDS INC
1775 EYE STREET, NW SUITE 200
WASHINGTON, DC 20006
(202) 862-9000

Account Number AE
642 115816 145

AAA Customer Service
1-800-869-DEAN

NICK JOE RAHALL II 003646
1301 DELAWARE AVENUE SW APT 409N
WASHINGTON DC 20024 3913

Asset Summary (Year End)

	Value	Percent of assets
Money Market Funds	$1,097.05	1.0%
Stocks	0.00	0.0
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	103,048.06	99.0
Asset Value	$104,145.11	100.0%
Cash	0.00	
Total Asset Value	$104,145.11	

Income Summary for 1997

Money Market Funds	$51.32
Stocks	180.00
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	68.06
Total Income	$299.38
Taxable Income	$248.06
Tax Exempt Income	$51.32

Activity Summary for 1997

Total Asset Value as of January 01 1997 $95.94

Summary of Activity Categories for 1997

Income	$299.38
Deposits	127,000.00
Assets Sold	109,159.84
Other	19,920.00
Checking	-45,938.00
Visa	0.00
Withdrawals	0.00
Assets Bought	-209,437.50
Margin Interest	-0.61

Changes in Asset Value for 1997

Value of Priced Assets as of 1/1/97	$0.00
Assets Bought	209,437.50
Assets Received	0.00
Assets Sold	-109,159.84
Assets Delivered	0.00
Change in Value of Priced Assets	2,770.40
Value of Priced Assets as of 12/31/97	103,048.06

Net Change in Asset Value 103,048.06

Total Asset Value as of December 31 1997 $104,145.11

The Active Assets Account provides up to $50 million in securities protection; $500,000 in coverage through the Securities Investor Protection Corp., and $49.5 million through independent third party coverage purchased by Dean Witter.

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW APT 409N

Account Number 642 115910 AE 145

YEAR END ASSETS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
ACTIVE ASSETS TAX FREE TRUST	1,097.05	1.0%	35
Total Cash and Money Market Funds	$1,097.05	1.0%	$35

Annualized 30 Day Yields	
Active Assets Money Trust	5.32%
Active Assets Govt. Sec. Tr.	4.98%
Active Assets California Tax Free	2.97%
Active Assets Tax Free Trust	3.21%
Dean Witter Insured Account	4.88%
Active Assets Deposit Account	4.88%

Other	Est. NAV	Valuation Est.	Pct of Assets	Fund Number	Date	Additional Information
Managed Futures						
43.609 PRT STRATEG FUND	(EST.VAL.) 2,363.00	103,048.06	99.0%	0	12/30	
Total Other		$103,048.06	99.0%			

Asset Summary	Value	Est Yrly Income
Total Asset Value	104,145.11	$35

1997 ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	08-13	Bought	43.609	DEAN WITTER PORTFOLIO STRAT FD	2293.1300	-100,000.00	PURCHASE AS OF 08/01
	08-13	Escrow Sold		DEAN WITTER PORTFOLIO STRAT FD		+100,000.00	SETTLED PURCHASE FROM ESCROW
	03-19	Bought	500	HEALTH&RETIREMENT PPTY TR SBI	18 7/8	9,437.50	
	06-18	Sold	500	HEALTH&RETIREMENT PPTY TR SBI	18 3/8	9,159.84	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
	07-31	Buy Escrow		PRT STRATEGYFUND		100,000.00	UNSETTLED PURCHASE IN ESCROW

Income	Activity	Description	Amount	Income Category
	Tax Exempt Dividend	ACTIVE ASSETS TAX FREE TRUST	51.32	Money Market Funds
	Dividend	HEALTH&RETIREMENT PPTY TR SBI	180.00	Stocks
	Taxable Interest	PRT STRATEGYFUND	68.06	Managed Futures

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DEAN WITTER REYNOLDS INC.

INCOME NOT REPORTED TO IRS

STATEMENT FOR TAX YEAR 1997

Account Number 642 115816 AE 145

For Account Of:

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW APT 409N

Payer	Federal Tax-Exempt Dividend	Federal Tax-Exempt Interest	% Alternative Minimum Tax	Municipal OID
ACTIVE ASSETS TAX FREE TRUST	51.32		6.820%	
Subtotal	51.32	0.00		0.00
Total	51.32	0.00		0.00

IMPORTANT TAX INFORMATION – PLEASE RETAIN FOR YOUR RECORDS

DEAN WITTER REYNOLDS INC.

1099-DIV DETAIL

STATEMENT FOR TAX YEAR 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW APT 409N

Account Number 642 115916 AE 145

DETAIL OF DIVIDENDS AND DISTRIBUTIONS

Payer/Pay Date	Gross Dividends and Other Distributions	Ordinary Dividends	Long Term Capital Gain Distributions	28% Gain Distributions*	Section 1250 Gain Distributions**	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid
DEAN WITTER REYNOLDS INC. HEALTHRETIREMENT PPTY TR SBI 05/20/97	180.00	148.50				31.50		
Total	180.00	148.50	0.00	0.00	0.00	31.50	0.00	0.00

* Report this amount on Schedule D (Form 1040), line 13, column (G).
** Report this amount on Schedule D (Form 1040), line 25.

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IMPORTANT TAX INFORMATION – PLEASE RETAIN FOR YOUR RECORDS

Wheat First Butcher Singer
Serving Investors Since 1934

Client Statement

Duplicate For The Account Of:
NICK JOE RAHALL II AS CUST FOR
NICK JOE RAHALL III UNDER THE
WV GIFTS TO MINORS ACT

Capital Resource Account

Mail To:
JAMES T SHEPHERD CPA
19-F MALLARD CT
BECKLEY WV 25801-3615

Account Number
BK08 6540-0350

December 1, 1997 - December 31, 1997
Page 1 of 2

Investment Objective
TRADING, SPECULATION
OR HIGH INCOME

Your Financial Consultant
EDWARD G RAHALL

122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

304-252-6221

Tax I.D. No.
233-17-4890

IF YOU ARE ELIGIBLE, YOU MAY BENEFIT FROM MAKING A $2,000 1998 ROTH IRA CONTRIBUTION. YOU MAY ALSO BENEFIT FROM CONVERTING YOUR EXISTING TRADITIONAL IRA INTO A ROTH IRA. READ INVESTOR'S SPECTRUM TO LEARN MORE--THEN TALK WITH YOUR FINANCIAL CONSULTANT.

Portfolio Summary

COMPOSITION	ENDING BALANCE MARKET VALUE	PERCENT OF PORTFOLIO
CASH AND MONEY MARKET	160,777.65	100.0
BONDS	.00	
STOCKS	.00	
TOTAL ESTIMATED PORTFOLIO VALUE	160,777.65	100.0

Income Summary

DESCRIPTION	THIS PERIOD	YEAR TO DATE
MONEY MARKET FUND DIVIDENDS	821.03	6,784.74
TOTAL INCOME	821.03	6,784.74

Current Portfolio

TYPE/DESCRIPTION	SYMBOL	QUANTITY	CURRENT PRICE	ESTIMATED VALUE	ESTIMATED ANNUAL INCOME	CURRENT YIELD
Cash and Money Market						
CASH		8,470.32		8,470.32	0	0.0
MONEY MARKET FUND (CRM)		152,307.33	1.0000	152,307.33	7,249	4.7
4.76% AVERAGE YIELD 11/18/97-12/31/97						
TOTAL CASH AND MONEY MARKET				160,777.65	7,249	N/A
TOTAL ESTIMATED PORTFOLIO VALUE				160,777.65	7,249	4.5

Attachment 16 - p.1

---CONTINUED ON NEXT PAGE---

Wheat First Butcher Singer is a trademark of Wheat, First Securities, Inc., Member New York Stock Exchange and Securities Investor Protection Corporation

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

REP	ACCOUNT	PAGE
BK08	6540-0350	1 OF 3
TAXPAYER ID: 233-17-4890		

FOR QUESTIONS CALL:
(304)252-6221
EDWARD G RAHALL
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II AS CUST FOR
NICK JOE RAHALL III UNDER THE
WV GIFTS TO MINORS ACT
110 1/2 MAIN ST
BECKLEY WV 25801-4611

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

ISSUE DATE:02/11/98

DIVIDENDS AND DISTRIBUTIONS

DESCRIPTION			ACTIVITY	AMOUNT	IRS BOX	COUNTRY
CRT MONEY MARKET	*	(1)	DIVIDEND	$7,074.35	1B	

IRS BOX	1099-DIV -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-DIV, OMB NO. 1545-0110	
1A.	GROSS DIVIDENDS ON STOCK (TOTAL OF 1B, 1C, 1D & 1E)	$7,074.35
1B.	ORDINARY DIVIDENDS	$7,074.35
1C.	CAPITAL GAIN DISTRIBUTIONS	$0.00
1D.	NONTAXABLE DISTRIBUTIONS	$0.00
1E.	INVESTMENT EXPENSES	$0.00
2.	FEDERAL INCOME TAX WITHHELD	$0.00
3.	FOREIGN TAX PAID	$0.00
5.	LIQUIDATION DISTRIBUTIONS	$0.00

(1) INCLUDES A SERVICE FEE OF $289.61 THAT MAY BE DEDUCTIBLE

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DEPARTMENT OF THE TREASURY - INTERNAL REVENUE SERVICE COPY B FOR RECIPIENT 3037392

SALOMON SMITH BARNEY

Select Client Statement
December 1 - December 31, 1997

Ref: 00006109 00029048

A Member of TravelersGroup

Account number 685-00725-10 025

685L970250072500000610 9IP 297365A001 IPFOL014A
JAMES T SHEPHERD
FOR NICK JOE RAHALL III
LYNCH, SHEPHERD AND CO
19F MALLARD COURT
BECKLEY WV 25801-3615

Your Broker/Dealer is
SMITH BARNEY INC
Your Financial Consultant

PETER T. JOSEPH
701 MAIN STREET
SUITE 100
STROUDSBURG PA 18360
717-421-3100

Select Service Center:1-800-423-7248
Branch: 800-445-2291

Copies of this statement have also been sent to:

JAMES T SHEPHERD
ALAN BLAKE
NICK JOE RAHALL II

Copy for the account of: N JOE RAHALL II ACF NICK JOE RAHALL III UGTMA/WVA
2269 RAYBURN BUILDING WASHINGTON DC

Account value

	Last period	This period	%
Cash balance	$ .04	$ 230.06	.06
Money funds	62,872.34	63,171.79	15.35
Accrued money fund dividends	121.80	0.00	
Common stocks & options	335,710.25	348,267.76	84.60
Net value	$ 398,704.43	$ 411,669.60	100

Earnings summary

	This period	This year Taxable	This year Non-taxable
Interest	$ .06	$ .85	$ 0.00
Dividends	575.50	3,470.50	0.00
Money funds earnings	402.77	3,047.32	0.00
Total	$ 978.33	$ 6,518.67	$ 0.00

Gain/loss summary

	This period	This year
Original Realized gain or (loss)	$ 0.00	$ 0.00 LT $ 1,123.20 MT $ 0.00 ST
Adjusted Realized gain or (loss)	0.00	0.00 LT 0.00 MT 0.00 ST
Unrealized gain or (loss)	206,341.28	*Not applicable*

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SALOMON SMITH BARNEY

Ref: 00006109 00029049

A Member of TravelersGroup

Select Client Statement
December 1 - December 31, 1997

N JOE RAHALL II ACF

Account number 685-00725-10 025

Cash and money funds balance

	This period	This year
Opening balance	$ 62,872.38	
Withdrawals	-448.86	-1,731.59
Interest credited	.08	
Dividends credited	575.50	
Money funds earnings reinvested	402.77	
Closing balance	$ 63,401.85	

Portfolio summary

	This period	Year-to-date
Opening value of securities	398,704.39	312,829.67
+ Opening cash balance	.04	220.00
= Opening portfolio balance	398,704.43	313,049.67
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	-448.86	-1,731.59
Adjusted opening value	398,255.57	311,318.08
Closing value of securities	411,429.54	411,429.54
+ Closing cash balance	230.06	230.06
= Closing portfolio value	411,659.60	411,659.60

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, Gold Card payments, FMA Money Card activity, checks written, and Money funds/insured cash deposit transfers.

Portfolio details

The values of your holdings are as of 12/31/97. Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated income (annualized)
63,171.79	SB MONEY FUNDS CASH PORT CL A	$ 63,171.79		5.08%
				$ 3,209.12
Total money funds		$ 63,171.79	$ 0.00	5.07
				$ 3,209.12

Co. .ion stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
400	AMERICAN EXPRESS CO SYMBOL: AXP/RATING: B+	03/13/95	$ 13,403.33	$ 33.018	$ 89.25	$ 35,700.00	$ 22,296.67	LT	1.008% $ 360.00
300	CITICORP SYMBOL: CCI/RATING: B	12/16/92	5,909.79	19.36	126.438	37,931.40	32,021.61	LT	1.66 630.00
400	COCA-COLA CO SYMBOL: KO/RATING: A+	12/28/93	9,041.28	22.257	66.688	26,675.20	17,633.92	LT	.839 224.00

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SALOMON SMITH BARNEY

Ref: 00006109 00029050

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Select Client Statement
December 1 - December 31, 1997

N JOE RAHALL II ACF

Account number 685-00725-10 025

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
200	EASTMAN KODAK CO SYMBOL: EK/RATING: B	08/26/93	$ 9,934.14	$ 49.67	$ 60.563	$ 12,112.60	$ 2,178.46	LT	2.908 % $ 352.00
800	FEDERAL HOME LN MTG CORP SYMBOL: FRE	11/23/94	9,771.24	12.031	41.938	33,550.40	23,779.16	LT	.953 320.00
450	HOME DEPOT INC SYMBOL: HD/RATING: A+	05/20/93	14,184.26	31.083	58.875	26,493.75	12,309.49	LT	.339 90.00
300	HOUSEHOLD INTERNATIONAL INC SYMBOL: HI/RATING: B+	02/03/95	12,516.17	41.115	127.625	38,287.50	25,772.33	LT	1.316 504.00
600	LEUCADIA NATIONAL CORP SYMBOL: LUK/RATING: B	06/01/95	14,373.32	23.625	34.50	20,700.00	6,326.68	LT	.724 150.00
400	MCI COMMUNICATIONS CORP SYMBOL: MCIC/RATING: B	01/25/79	287.00	.715	42.813	17,125.20	16,838.20//	LT	.116 20.00
400	MCDONALDS CORP SYMBOL: MCD/RATING: A+	08/22/94	10,720.48	26.375	47.75	19,100.00	8,379.52	LT	.691 132.00
400	PFIZER INC SYMBOL: PFE/RATING: A-	06/18/91	5,918.71	14.609	74.563	29,825.20	23,906.49	LT	.911 272.00
300	TIME WARNER HOLDINGS CO SYMBOL: TWX/RATING: B-	01/18/93	9,873.39	32.394	62.00	18,600.00	8,726.61	LT	.58 108.00
200	VIACOM INC CL B SYMBOL: VIAB/RATING: B-	08/30/95	9,922.26	46.375	41.438	8,287.60	(1,634.66)	LT	
300	WM WRIGLEY JR CO SYMBOL: WWY/RATING: A+	05/22/96	16,162.13	53.154	78.563	23,568.90	7,706.77	LT	.955 228.00
Total common stocks and options			$ 141,919.49			$ 349,267.75	$ 0.00	ST	.07
							$ 0.00	MT	$ 3,300.00
							$ 208,341.26	LT	
Total portfolio value			$ 205,088.29			$ 411,429.64	$ 0.00	ST	1.80
							$ 0.00	MT	$ 6,600.13
							$ 206,341.26	LT	

//Based on information supplied by your Financial Consultant.

3165

SMITH BARNEY

A Member of TravelersGroup

Ref. 00004012 00031008

Select Client Statement
1997 Year End Summary

N JOE RAHALL II ACF
Account Number 685-00725-10 025 SS # 233-17-4890

Details of 1099 Reported Dividends and Distributions 1997

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for gross dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Gross dividends and other distributions on stock (Box 1a) (Total of boxes 1b,1c,1d and 1e)	Ordinary dividends (Box 1b)	Long - Term Capital gain distributions (Box 1c)	Nontaxable distributions (Box 1d)	Investment expenses (Box 1e)	Federal income tax withheld (Box 2)	Foreign tax paid (Box 3)	Liquidation distributions-cash/non-cash (Boxes 6 & 8)
150000100	AMERICAN EXPRESS CO	$ 360.00	$ 360.00						
150000200	CITICORP	630.00	630.00						
150000300	COCA-COLA CO	224.00	224.00						
150000400	EASTMAN KODAK CO	344.00	344.00						
150000500	FEDERAL HOME LN MTG CORP	320.00	320.00						
150000600	HOME DEPOT INC	85.50	85.50						
150000700	HOUSEHOLD INTERNATIONAL INC	477.00	477.00						
150000800	LEUCADIA NATIONAL CORP	150.00	150.00						
150000900	MCI COMMUNICATIONS CORP	20.00	20.00						
150001000	MCDONALDS CORP	129.00	129.00						
150001100	PFIZER INC	272.00	272.00						
150001200	SB MONEY FUNDS CASH PORT CL A	3,047.32	3,047.32						
150001300	TIME WARNER HOLDINGS CO	108.00	108.00						
150001400	WM WRIGLEY JR CO	351.00	351.00						
Totals in Boxes 1a-1e		**$ 6,517.82**	**$ 6,517.82**						

Details of Mid Term 28% Tax Gain (Loss) 1997

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor. For additional information regarding this section see enclosed brochure.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Original Cost Adjusted Cost	Original Gain/(Loss) Adjusted Gain/(Loss)	Ordinary Income Capital Gain/(Loss)
125000100	5,000	WEST VIRGINIA HSG DEV FD SFMR 0-CPN-TERM APPREC YTM 11.0%-RG SER B-TICOR-DTD 8/28/83-CBLE DUE 01/01/2015	09/01/83	01/02/97	$ 727.60	$ 176.00 d $ 727.60	$ 551.60 $ 0.00	$ 0.00 $ 0.00

1997 YEAR END SUMMARY

3166

SMITH BARNEY

A Member of TravelersGroup

Ref: 00004012 00031009

Select Client Statement
1997 Year End Summary

N JOE RAHALL II ACF
Account Number 685-00725-10 025 SS # 233-17-4890

Details of Mid Term 28% Tax Gain (Loss) 1997 - *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Original Cost Adjusted Cost	Original Gain/(Loss) Adjusted Gain/(Loss)	Ordinary Income Capital Gain/(Loss)
125000200	5,000	WEST VIRGINIA HSG DEV FD SFMR 0-CPN-TERM APPREC YTM 11.0%-RG SER B-TICOR-DTD 0/28/83-PREF DUE 01/01/2015	09/01/83	04/01/97	$ 747.60	$ 176.00 [d] $ 747.60	$ 571.60 $ 0.00	$ 0.00 $ 0.00
Total Mid-Term Gain/Loss						$ 352.00 $ 1,476.20	$ 1,123.20 $ 0.00	$ 0.00 $ 0.00

[d] *Based on information supplied by your Financial Consultant.*

Pursuant to The Taxpayer Relief Act of 1997, all sales occurring on or before May 6, 1997 of securities that were held more than 12 months will qualify for the 28% rate for net gains. In addition, all sales occurring on or after July 29, 1997 of securities that were held more than 12 months but not more than 18 months will also qualify for the 28% rate for net gains.

Details of Deposits and Withdrawals 1997

This section reflects any deposits or withdrawals made to your account during the year.

Withdrawals

Reference number	Date	Description	Referral number	Amount
220000100	03/21/97	INVESTMENT & ADVISORY SERVICES FROM 03/01/97 TO 05/31/97		$ 416.84
220000200	06/20/97	INVESTMENT & ADVISORY SERVICES FROM 06/01/97 TO 08/31/97		$ 430.33
220000300	09/19/97	INVESTMENT & ADVISORY SERVICES FROM 09/01/97 TO 11/30/97		433.58
220000400	12/19/97	INVESTMENT & ADVISORY SERVICES FROM 12/01/97 TO 02/28/98		448.88
Total				$ 1,731.59

1997 YEAR END SUMMARY

3167

Butcher Singer
Serving Investors Since 1934

Duplicate For The Account Of:
NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
THE WV GIFTS TO MINORS ACT

Capital Resource Account

Mail To:
JAMES T SHEPHERD CPA
19-F MALLARD COURT
BECKLEY WV 25801-3615

Account Number
BK08 6540-1050

December 1, 1997 - December 31, 1997
Page 1 of 5

Investment Objective
GROWTH & INCOME (QUALITY)

Your Financial Consultant
EDWARD G RAHALL

122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

304-252-6221

Tax I.D. No.
233-25-9977

IF YOU ARE ELIGIBLE, YOU MAY BENEFIT FROM MAKING A $2,000 1998 ROTH IRA CONTRIBUTION. YOU MAY ALSO BENEFIT FROM CONVERTING YOUR EXISTING TRADITIONAL IRA INTO A ROTH IRA. READ INVESTOR'S SPECTRUM TO LEARN MORE--THEN TALK WITH YOUR FINANCIAL CONSULTANT.

Portfolio Summary

COMPOSITION	ENDING BALANCE MARKET VALUE	PERCENT OF PORTFOLIO
CASH AND MONEY MARKET	27,110.01	30.3
BONDS	30,089.00	33.6
UNIT INVESTMENT TRUST	4,900.00	5.5
STOCKS	8,500.20	9.5
MUTUAL FUNDS	18,835.91	21.1
TOTAL ESTIMATED PORTFOLIO VALUE	89,435.12	100.0

Income Summary

DESCRIPTION	THIS PERIOD	YEAR TO DATE
MONEY MARKET FUND DIVIDENDS	39.18	638.67
CASH DIVIDENDS	611.72	684.97
OTHER INTEREST	120.70	987.62
TOTAL INCOME	771.60	2,311.26

Return of Principal Summary

DESCRIPTION	THIS PERIOD	YEAR TO DATE
RETURN OF PRINCIPAL	119.80	935.91
TOTAL RETURN OF PRINCIPAL	119.80	935.91

Attachment 18 - p.1

---CONTINUED ON NEXT PAGE---

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Wheat First Butcher Singer
Serving Investors Since 1934

Client Statement

Duplicate For The Account Of:
NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
THE WV GIFTS TO MINORS ACT

Account Number
BK08 6540-1050

December 1, 1997 - December 31, 1997

Current Portfolio

TYPE/DESCRIPTION	SYMBOL	QUANTITY	CURRENT PRICE	ESTIMATED VALUE	ESTIMATED ANNUAL INCOME	CURRENT YIELD
Cash and Money Market						
CASH		7,677.16		7,677.16	0	0.0
MONEY MARKET FUND (CRG)		19,432.85	1.0000	19,432.85	908	4.6
4.67% AVERAGE YIELD 11/18/97-12/31/97						
TOTAL CASH AND MONEY MARKET				27,110.01	908	N/A
Bonds						
FICO STRIP SR 1 05/11/01 INTEREST PMT DUE 05/11/01 DTD 5/18/88		5,000	81.9420	4,097.10	0	0.0
FICO STRIP SR 16 10/5/02 INTEREST PMT CPN 0.000% DUE 10/05/02		10,000	75.4390	7,543.90	0	0.0
CERT ACCR@AL SER M 11/02 TREAS SECS INT PMT CPN 0.000% DUE 11/15/02		5,000	75.8050	3,790.75	0	0.0
MORGAN STANLEY 87 K3 MULTICLASS CMO CPN 8.425% DUE 09/20/18 DTD 5/20/87 FC 9/20/87 CALL 6/20/99 @ 100.000 ACCRUED INT 19.95 REMAIN BAL 2,079.48 DEC FACTOR .693160094		3,000	100.0000	2,079.48	175	8.4
FNMA 91 6ZD 9% COMPOUNDED RATE MULTICLASS CMO CPN 9.000% DUE 01/25/21 DTD 1/01/91 FC 2/25/91 REMAIN BAL 5,577.77 DEC FACTOR 1.85925753	PAC	3,000	100.0000	5,577.77	501	9.0
FNMA 92 11E MULTICLASS CMO CPN 8.000% DUE 12/25/21 DTD 1/01/92 FC 2/25/92 ACCRUED INT 20.01 REMAIN BAL 3,000.00 DEC FACTOR 1.00000000		3,000	100.0000	3,000.00	240	8.0
GECMS 94 29 A4 REMIC MC PASSTHRU CTF CPN 8.125% DUE 11/25/24 DTD 10/01/94 FC 11/25/94 ACCRUED INT 27.08 REMAIN BAL 4,000.00 DEC FACTOR 1.00000000		4,000	100.0000	4,000.00	325	8.1

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—CONTINUED ON NEXT PAGE—

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Current Portfolio continued

TYPE/DESCRIPTION	SYMBOL	QUANTITY	CURRENT PRICE	ESTIMATED VALUE	ESTIMATED ANNUAL INCOME	ESTIMATED CURRENT YIELD
Bonds						
$67 IS THE TOTAL ESTIMATED ACCRUED INTEREST AS DETAILED ABOVE.						
$14,657 IS THE TOTAL REMAINING BALANCE OF GNMA AND OTHER FACTORED SECURITIES.						
TOTAL BONDS				30,089.00	1,242	4.1
Unit Investment Trusts						
MORTGAGE SECURITIES TR CMO SER 15 INTERMEDIATE PORTFOLIO UNIT MONTHLY		5,000	.9800	4,900.00	325	6.6
TOTAL UIT				4,900.00	325	6.6
Stocks						
APPLEBEES INTL INC	APPB	200	18.0630	3,612.60	16	0.4
VENCOR INC	VC	200	24.4380	4,887.60	0	0.0
TOTAL STOCKS				8,500.20	16	0.2
Mutual Funds						
MFS EQUITY RESEARCH FUND CLASS B	MFRBX	345.1330	20.8500	7,196.02	0	0.0
MORGAN STANLEY VALUE FD CL B	MVUBX	504.0350	10.0900	5,085.71	4	0.0
VKAC COMSTOCK FUND CL B	ACSWX	404.3300	16.2100	6,554.18	52	0.6
TOTAL MUTUAL FUNDS				18,835.91	57	0.3

Estimated Annual Income and Current Yield refer to dividends and interest income only, and typically do not reflect total return.

TOTAL ESTIMATED PORTFOLIO VALUE	89,435.12	2,549	2.9

Activity Summary

BEGINNING CASH AND MONEY MARKET			3,714.83
	ADDITIONS	SUBTRACTIONS	NET AMOUNT
DIVIDENDS AND INTEREST	771.60	.00	771.60
SECURITY SALES	24,434.00	.00	24,434.00
SECURITY PURCHASES	.00	2,405.15	-2,405.15
OTHER ACTIVITY	594.73	.00	594.73
TOTALS	25,800.33	2,405.15	23,395.18
ENDING CASH AND MONEY MARKET			27,110.01

---CONTINUED ON NEXT PAGE---

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

REP	ACCOUNT	PAGE
BK08	6540-1050	1 OF 7
TAXPAYER ID: 233-25-9977		

FOR QUESTIONS CALL:
(304)252-6221
EDWARD G RAHALL
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
THE WV GIFTS TO MINORS ACT
110 1/2 MAIN ST
BECKLEY WV 25801-4611

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.
CORRECTION: 03/06/98

DIVIDENDS AND DISTRIBUTIONS

DESCRIPTION		ACTIVITY	AMOUNT	IRS BOX	COUNTRY
ALBERTSONS INC		DIVIDEND	$16.00	1B	
CRT GOVERNMENT SECS *	(1)	DIVIDEND	$666.90	1B	
COLUMBIA/HCA HLTH CARE		DIVIDEND	$2.00	1B	
FT PHARMA GR & VALUE 1 Q		DIVIDEND	$3.23DR	1B	
FT TELEPH GR & VALUE 1 Q		DIVIDEND	$0.41DR	1B	
FT TR FOOD & BEV GRTH 1		DIVIDEND	$2.01DR	1B	
MFS RESEARCH FD CL B		SHORT TERM CAP	$109.34	1B	
MORGAN STANLEY VALUE FD		DIVIDEND	$4.51	1B	
MORGAN STANLEY VALUE FD		SHORT TERM CAP	$25.55	1B	
NEWS CORP LTD ADR NEW		DIVIDEND	$8.66	1B	AS
PEPSICO INCORPORATED		DIVIDEND	$11.50	1B	
VKAC COMSTOCK FD CL B		DIVIDEND	$34.67	1B	
VKAC COMSTOCK FD CL B		SHORT TERM CAP	$460.74	1B	
YORK INTL CORP NEW		DIVIDEND	$12.00	1B	
TOTAL DIVIDENDS			$1,346.22		
MFS RESEARCH FD CL B		20% RATE GAIN	$53.29	1C	
MFS RESEARCH FD CL B		28% RATE GAIN	$128.08	1C	
VKAC COMSTOCK FD CL B		20% RATE GAIN	$99.69	1C	
VKAC COMSTOCK FD CL B		28% RATE GAIN	$193.87	1C	
TOTAL CAPITAL GAINS			$474.93		
NEWS CORP LTD ADR NEW		FOREIGN W/H	$1.30DR	3	AS

IRS BOX	1099-DIV -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-DIV, OMB NO. 1545-0110	
1A.	GROSS DIVIDENDS ON STOCK (TOTAL OF 1B, 1C, 1D & 1E)	$1,821.15
1B.	ORDINARY DIVIDENDS	$1,346.22
1C.	CAPITAL GAIN DISTRIBUTIONS	$474.93
1D.	NONTAXABLE DISTRIBUTIONS	$0.00
1E.	INVESTMENT EXPENSES	$0.00
2.	FEDERAL INCOME TAX WITHHELD	$0.00
3.	FOREIGN TAX PAID	$1.30DR
5.	LIQUIDATION DISTRIBUTIONS	$0.00

(1) INCLUDES A SERVICE FEE OF $28.23 THAT MAY BE DEDUCTIBLE

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR SUZANNE NICOLE RAHALL UNDER THE WV GIFTS TO MINORS ACT	REP ACCOUNT BK08 6540-1050 TAXPAYER ID: 233-25-9977	PAGE 2 OF 7

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.
CORRECTION: 03/06/98

INTEREST INCOME

DESCRIPTION	ACTIVITY	AMOUNT	IRS BOX	COUNTRY
MST CMO SER 15 M 3/20/24	INTEREST	$326.60	1	
VKM BRAND NAME TRUST 1 Q	INTEREST	$30.05	1	
TOTAL INTEREST		$356.65		

IRS BOX 1099-INT -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-INT, OMB NO. 1545-0112	
1. INTEREST INCOME NOT INCLUDED IN IRS BOX 3.....	$356.65
3. INTEREST ON U.S. TREASURY OBLIGATIONS.....	$0.00
4. FEDERAL INCOME TAX WITHHELD	$0.00
5. FOREIGN TAX PAID	$0.00

ORIGINAL ISSUE DISCOUNT

DESCRIPTION	ACTIVITY	AMOUNT	IRS BOX
CATS SER M 0%11/02 INT	OID LONG TERM	$315.17	1
FICO 1 0%05/11/01 INT	OID LONG TERM	$326.20	1
FICO 16 0%10/05/02 INT	OID LONG TERM	$558.63	1
LASALLE MATL 0% 01/12/07	OID LONG TERM	$258.67	1
TOTAL ORIGINAL ISSUE DISCOUNT		$1,458.67	

IRS BOX 1099-OID -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-OID, OMB NO. 1545-0117	
1. ORIGINAL ISSUE DISCOUNT	$1,458.67
2. OTHER PERIODIC INTEREST	$0.00
4. FEDERAL INCOME TAX WITHHELD	$0.00

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

ACCOUNT NUMBER : BK08 6540-1050
TAX ID NUMBER : 233-25-9977

FOR QUESTIONS CALL: (304)252-6221
EDWARD G RAHALL
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
THE WV GIFTS TO MINORS ACT
110 1/2 MAIN ST
BECKLEY WV 25801-4611

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ORIGINAL ISSUE DISCOUNT (IRS FORM 1099-OID, OMB NO. 1545-0117)

DESCRIPTION
CUSIP: 617909AD8
MORGAN STANLEY 87 K3
MULTICLASS CMO
CPN 8.425% DUE 09/20/18

01/01 3,000.00 POSITION
12/31 3,000.00 POSITION

DATE	ACCRUED OID IRS BOX #1	ACCRUED INT IRS BOX #2
03/19	$55.11	
06/19	$52.13	
09/19	$48.55	
12/19	$46.51	
12/31	$5.32	
TOTAL	$207.62	

ACTUAL INTEREST PAID

03/20	$54.82CR
06/20	$51.88CR
09/20	$48.39CR
12/20	$46.32CR
TOTAL	$201.41

TOTAL PAID INTEREST NOT REPORTABLE TO IRS.

IRS BOX	1099-OID -- TOTALS FOR TAX YEAR 1997	
1.	ORIGINAL ISSUE DISCOUNT	$726.48
2.	OTHER PERIODIC INTEREST	$450.18

NOTE: ACCRUED INTEREST AND/OR ACCRUED OID WAS CALCULATED USING THE FOLLOWING TABLE.

BEGIN DATE	END DATE	DAYS HELD	INT ACCRUED	OID ACCRUED	ADJ PRICE	DISC FRAC	REMAINING
01/01	03/19	90	.00000000	.20413900	868.4834	.04528150	.00000000
03/20	06/19	90	.00000000	.19309820	819.7696	.05162110	.00000000
06/20	09/19	90	.00000000	.17981790	764.7694	.05193140	.00000000
09/20	12/19	90	.00000000	.17227320	732.0253	.05227430	.00000000
12/20	12/31	12	.00000000	.16128730	692.1560	.00637590	.00000000

ASSET COMPOSITION	1ST QRTR	2ND QRTR	3RD QRTR	4TH QRTR
IRC SECTION 593 :	95%	95%	95%	95%
IRC SECTION 7701 :	95%	95%	95%	95%
IRC SECTION 856 :	95%	95%	95%	95%

THE INFORMATION PROVIDED TO YOU IN THIS STATEMENT WAS OBTAINED FROM THE ISSUER, ITS TRUSTEE OR AN AGENT OF THE ISSUER. WE ARE UNABLE TO VERIFY THE ACCURACY OF THE INFORMATION SUPPLIED TO US THEREFORE WE CANNOT GIVE ASSURANCE OF THE CORRECTNESS OF THIS INFORMATION, NOR CAN WE GIVE ASSURANCE THAT THIS INFORMATION WILL NOT SUBSEQUENTLY CHANGE.

Wheat, First Securities, Inc.
901 EAST BYRD STREET, RICHMOND, VIRGINIA 23219

PAYER'S FEDERAL IDENTIFICATION NUMBER
54-0796506

NICK JOE RAHALL II SEP IRA
WFS AS CUSTODIAN.
U/A DTD 12/17/86
216 1/2 MAIN ST
BECKLEY WV 25801-4613

WHEAT FIRST BUTCHER SINGER

YOUR FINANCIAL CONSULTANT:
EDWARD G RAHALL
(304) 252-6221

Account No.	Recipient's ID No.	Page
BK08 6539-9300	236-78-8645	1

ISSUE DATE: 01/24/1998

IRA PORTFOLIO HOLDING VALUATION AS OF DECEMBER 31, 1997

SECURITY DESCRIPTION	QUANTITY	MARKET PRICE	FACTOR	MARKET VALUE
CRT GOVERNMENT SECS PORTFOLIO	4,589.38000	1.0000		4,589.38
FICO STRIP SR 1 11/11/11 INTEREST PMT CPN 0.000% DUE 11/11/11 DTD 5/18/88	20,000.00000	41.7730	1.00000	8,354.60
FICO STRIP SR 5 02/08/10 INTEREST PMT CPN 0.000% DUE 10/02/08	15,000.00000	46.8830	1.00000	7,032.45
FICO STRIP 1 5/11/12 INTEREST PMT CPN 0.000% DUE 12/05/11 DTD 5/18/88	20,000.00000	40.4240	1.00000	8,084.80
FIRST UNION NATL BK CD 8% ACCRETION RATE 30/360 FDIC PRIN & INT TO 100M CPN 0.000% DUE 17/12/29 DTD 12/29/97	50,000.00000	20.5800	1.00000	10,290.00
US TREAS STRIPS 08/13 INTEREST PMT CPN 0.000% DUE 13/08/15	35,000.00000	39.2980	1.00000	13,754.30
PORTFOLIO HELD ON WFS PREMISES :				$52,105.53
TOTAL IRA PORTFOLIO VALUATION :				$52,105.53

YOUR YEAR-END VALUE IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE.
(PLEASE SEE THE REVERSE SIDE OF THIS DOCUMENT FOR ADDITIONAL INFORMATION.)
Member New York Stock Exchange, Inc. and SIPC

Attachment 19 - p.1

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II	REP ACCOUNT	PAGE
216 1/2 MAIN ST	BK08 6539-9650	2 OF 6
BECKLEY WV 25801-4613	TAXPAYER ID: 236-78-8645	

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

ISSUE DATE:02/11/98

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
ALABAMA SPL 0.00%06 CUSIP: 010403BX0	04/01/97	REDEMPTION	50,000.00		$21,438.66
ASCEND COMMUNICATION INC CUSIP: 043491109	09/11/97	SALE	200.00	38.1250	$7,613.74
BOSTON SCIENTIFIC CORP CUSIP: 101137107	10/28/97	SALE	100.00	45.8750	$4,501.34
CABLETRON SYSTEMS INC CUSIP: 126920107	02/12/97	SALE	100.00	31.5000	$3,076.57
CABLETRON SYSTEMS INC CUSIP: 126920107	07/09/97	SALE	100.00	33.3750	$3,265.78
CISCO SYS INC CUSIP: 17275R102	02/24/97	SALE	100.00	58.5625	$5,775.05
COMPUTER MOTION INC CUSIP: 205253107	10/06/97	SALE	300.00	13.3750	$3,906.80
FIRST DATA CORP CUSIP: 319963104	12/12/97	SALE	400.00	27.0625	$10,660.66
FLUOR CORP CUSIP: 343861100	07/31/97	SALE	100.00	61.3750	$6,081.29
IMPATH INC CUSIP: 45255G101	10/21/97	SALE	100.00	32.5000	$3,193.89
MIRAVANT MED CUSIP: 604690107	12/31/97	SALE	200.00	37.7500	$7,422.70
NETWORK APPLIANCE INC CUSIP: 64120L104	03/07/97	SALE	100.00	40.5000	$3,969.79
PHYCOR INC CUSIP: 71940F100	10/02/97	SALE	100.00	29.1875	$2,848.24
PHYCOR INC CUSIP: 71940F100	10/03/97	SALE	200.00	30.9375	$6,074.92
QUALCOMM INC CUSIP: 747525103	04/30/97	SALE	100.00	46.8750	$4,606.34
QUALCOMM INC CUSIP: 747525103	08/19/97	SALE	100.00	47.1250	$4,631.34
QUALCOMM INC CUSIP: 747525103	12/22/97	SALE	100.00	49.6250	$4,881.33
QUALCOMM INC CUSIP: 747525103	12/29/97	SALE	100.00	49.1875	$4,837.58
QUIGLEY CORP NEW CUSIP: 74838L304	02/19/97	SALE	200.00	13.6875	$2,664.03
RADISYS CORP CUSIP: 750459109	02/13/97	SALE	200.00	37.5000	$7,357.18
RADISYS CORP CUSIP: 750459109	02/19/97	SALE	200.00	38.0000	$7,447.85
RADISYS CORP CUSIP: 750459109	03/27/97	SALE	200.00	30.6250	$6,048.33
SEACHANGE INTL INC CUSIP: 811699107	10/02/97	SALE	300.00	11.8750	$3,501.16
STERIGENICS CUSIP: 85915R105	10/31/97	SALE	100.00	21.2500	$2,068.92
3COM CORP CUSIP: 885535104	04/22/97	SALE	200.00	24.7500	$4,857.94
VERIFONE INC CUSIP: 923429104	01/13/97	SALE	200.00	32.6250	$6,402.65
VERITAS SOFTWARE CUSIP: 923436109	03/05/97	SALE	100.00	37.2500	$3,653.05
WV HSG 0.00%15 CUSIP: 956630BS5	01/02/97	REDEMPTION	5,000.00		$727.60
TOTAL PROCEEDS					$153,514.73

<<<< CONTINUED ON THE NEXT PAGE >>>>

Attachment 20 - p.1

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II	REP ACCOUNT	PAGE
216 1/2 MAIN ST	BK08 6539-9650	3 OF 6
BECKLEY WV 25801-4613	TAXPAYER ID: 236-78-8645	

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE.
IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.
ISSUE DATE:02/11/98

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT

IRS BOX 1099-B -- TOTALS FOR TAX YEAR 1997
SUBSTITUTE FOR IRS FORM 1099-B, OMB NO. 1545-0715

2. GROSS PROCEEDS LESS COMMISSIONS ON STOCK, BONDS, ETC	$153,514.73
4. FEDERAL INCOME TAX WITHHELD	$0.00

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II	REP ACCOUNT	PAGE
216 1/2 MAIN ST	BK08 6539-9650	4 OF 6
BECKLEY WV 25801-4613	TAXPAYER ID: 236-78-8645	

THE FOLLOWING IS BEING PROVIDED FOR YOUR INFORMATION ONLY AND WILL NOT BE FURNISHED TO THE INTERNAL REVENUE SERVICE.

ISSUE DATE:02/11/98

THIS SECTION LISTS MISCELLANEOUS INFORMATION WHICH CAN BE HELPFUL IN THE PREPARATION OF YOUR TAX RETURN. IT LISTS NON FEDERALLY REPORTABLE INCOME WHICH MAY OR MAY NOT BE TAXABLE AT THE STATE OR LOCAL LEVEL. PLEASE REVIEW THIS INFORMATION WITH YOUR TAX ADVISOR.

DESCRIPTION	ACTIVITY	AMOUNT	REF #
ALABAMA SPL 0.00%06	OID LONG TERM	$482.58	2
BERKELEY CO WV BLDG 6%01	INTEREST	$1,500.00	2
NC ED DUKE UNIV CAB 0%00	OID LONG TERM	$828.37	2
RICHLAND SC HOSP 0%12	OID LONG TERM	$255.72	2
TAMPA FL 0.00%05	OID LONG TERM	$1,153.20	2
WV ECON EDGEWOOD 6.50%13	INTEREST	$1,625.00	2
WVA PKWYS AUTH 0.00%04	OID LONG TERM	$189.83	2
TOTAL TAX EXEMPT MUNI BOND INTEREST		$6,034.70	

REF #	-- TOTALS FOR TAX YEAR 1997 MISCELLANEOUS INFORMATION TOTALS	
1.	MARGIN DEBIT INTEREST	$0.00DR
2.	FEDERALLY TAX EXEMPT MUNICIPAL BONDS	$6,034.70
3.	FEDERALLY TAX EXEMPT DIVIDENDS	$0.00
4.	RETURN OF CAPITAL OR PRINCIPAL PAYMENTS	$0.00
5.	INCOME SUBJECT TO ALTERNATIVE MINIMUM TAX	$0.00
6.	FEDERALLY TAX EXEMPT INTEREST	$0.00
7.	FEDERALLY TAX EXEMPT ACCRUED INTEREST	$0.00
8.	MASTER LIMITED PARTNERSHIP DISTRIBUTIONS	$0.00
9.	ACCRUED INTEREST ON PURCHASES	$0.00DR

THIS SECTION CONTAINS PURCHASE ACTIVITY IN YOUR ACCOUNT.
IT IS PROVIDED FOR YOUR INFORMATION ONLY.

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
ASCEND COMMUNICATION INC CUSIP: 043491109	09/11/97	PURCHASE	200.00	37.6250	$7,581.00
BOSTON SCIENTIFIC CORP CUSIP: 101137107	10/28/97	PURCHASE	100.00	42.7500	$4,357.74
CABLETRON SYSTEMS INC CUSIP: 126920107	02/11/97	PURCHASE	100.00	28.6250	$2,935.94
CABLETRON SYSTEMS INC CUSIP: 126920107	06/03/97	PURCHASE	100.00	31.1250	$3,197.15
CISCO SYS INC CUSIP: 17275R102	02/24/97	PURCHASE	100.00	55.7500	$5,671.00
COMPUTER MOTION INC CUSIP: 205253107	08/14/97	PURCHASE	300.00	14.1250	$4,356.74
FIRST DATA CORP CUSIP: 319963104	11/03/97	PURCHASE	300.00	28.8750	$8,835.90
FIRST DATA CORP CUSIP: 319963104	11/13/97	PURCHASE	100.00	27.3750	$2,816.58
FLUOR CORP CUSIP: 343861100	03/03/97	PURCHASE	100.00	59.8750	$6,078.50
IMPATH INC CUSIP: 45255G101	10/15/97	PURCHASE	100.00	31.0000	$3,174.46
MIRAVANT MED CUSIP: 604690107	12/09/97	PURCHASE	100.00	41.5000	$4,235.96
MIRAVANT MED CUSIP: 604690107	12/11/97	PURCHASE	100.00	35.7500	$3,657.98
NETWORK APPLIANCE INC CUSIP: 64120L104	02/25/97	PURCHASE	100.00	41.5000	$4,244.42

<<<< CONTINUED ON THE NEXT PAGE >>>>

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Wheat First Securities, Inc. **1997**

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II	REP ACCOUNT	PAGE
216 1/2 MAIN ST	BK08 6539-9650	5 OF 6
BECKLEY WV 25801-4613	TAXPAYER ID: 236-78-8645	

THE FOLLOWING IS BEING PROVIDED FOR YOUR INFORMATION ONLY AND WILL NOT BE FURNISHED TO THE INTERNAL REVENUE SERVICE.

ISSUE DATE:02/11/98

THIS SECTION CONTAINS PURCHASE ACTIVITY IN YOUR ACCOUNT.
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DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
<<<< CONTINUED FROM PREVIOUS PAGE >>>>					
PHYCOR INC CUSIP: 71940F100	07/23/97	PURCHASE	200.00	32.8750	$6,698.91
PHYCOR INC CUSIP: 71940F100	08/22/97	PURCHASE	100.00	28.0000	$2,872.61
QUALCOMM INC CUSIP: 747525103	04/21/97	PURCHASE	100.00	44.3125	$4,520.76
QUALCOMM INC CUSIP: 747525103	07/23/97	PURCHASE	100.00	47.6250	$4,858.50
QUALCOMM INC CUSIP: 747525103	12/19/97	PURCHASE	100.00	47.0000	$4,791.00
QUALCOMM INC CUSIP: 747525103	12/24/97	PURCHASE	100.00	46.3750	$4,718.50
QUIGLEY CORP NEW CUSIP: 74838L304	01/09/97	PURCHASE	100.00	27.5000	$2,817.38
RADISYS CORP CUSIP: 750459109	02/11/97	PURCHASE	100.00	34.7500	$3,565.04
RADISYS CORP CUSIP: 750459109	02/12/97	PURCHASE	100.00	34.7500	$3,556.64
RADISYS CORP CUSIP: 750459109	02/18/97	PURCHASE	200.00	34.0000	$6,956.61
RADISYS CORP CUSIP: 750459109	02/27/97	PURCHASE	100.00	35.7500	$3,657.98
RADISYS CORP CUSIP: 750459109	03/18/97	PURCHASE	100.00	27.7500	$2,847.28
RICHLAND SC HOSP 0412 CUSIP: 763634GE6	04/17/97	PURCHASE	15,000.00	41.1400	$6,177.00
SEACHANGE INTL INC CUSIP: 811699107	06/30/97	PURCHASE	100.00	28.2500	$2,897.95
SEACHANGE INTL INC CUSIP: 811699107	07/01/97	PURCHASE	100.00	24.8750	$2,559.48
SEACHANGE INTL INC CUSIP: 811699107	07/30/97	PURCHASE	100.00	19.6250	$2,027.35
STERIGENICS CUSIP: 85915R105	10/15/97	PURCHASE	100.00	21.7500	$2,237.84
3COM CORP CUSIP: 885535104	02/26/97	PURCHASE	100.00	38.8750	$3,977.35
3COM CORP CUSIP: 885535104	02/27/97	PURCHASE	100.00	36.6250	$3,746.64
VERITAS SOFTWARE CUSIP: 923436109	02/27/97	PURCHASE	100.00	34.2500	$3,509.30
WVA PKWYS AUTH 0.00%04 CUSIP: 956661AS1	09/15/97	PURCHASE	15,000.00	72.8450	$10,932.75

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Wheat First Securities, Inc. **1997**

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II	REP ACCOUNT PAGE
216 1/2 MAIN ST	BK08 6539-9650 6 OF 6
BECKLEY WV 25801-4613	TAXPAYER ID: 236-78-8645

THE FOLLOWING IS BEING PROVIDED FOR YOUR INFORMATION ONLY AND WILL NOT BE FURNISHED TO THE INTERNAL REVENUE SERVICE.

ISSUE DATE:02/11/98

THIS SECTION CONTAINS OPTIONS ACTIVITY IN YOUR ACCOUNT.
IT IS PROVIDED FOR YOUR INFORMATION ONLY.

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
CALL CONRAIL INC	01/14/97	SALE	2.00	7.0000	$1,347.89CR
$95 EXP 01/18/97 SYMBOL: CRRAS					
PUT S & P 100 INDEX	01/29/97	SALE	1.00	18.5000	$1,799.93CR
$760 EXP 02/22/97 SYMBOL: OEXNL					
PUT S & P 100 INDEX	01/30/97	SALE	1.00	13.0000	$1,249.95CR
$760 EXP 02/22/97 SYMBOL: OEXNL					
PUT S & P 100 INDEX	01/28/97	PURCHASE	1.00	14.2500	$1,475.00
$760 EXP 02/22/97 SYMBOL: OEXNL					
PUT S & P 100 INDEX	01/29/97	PURCHASE	1.00	16.5000	$1,700.00
$760 EXP 02/22/97 SYMBOL: OEXNL					
PUT S & P 100 INDEX	02/14/97	SALE	2.00	7.7500	$1,486.15CR
$790 EXP 02/22/97 SYMBOL: OEXNR					
PUT S & P 100 INDEX	02/13/97	PURCHASE	2.00	8.7500	$1,808.02
$790 EXP 02/22/97 SYMBOL: OEXNR					
PUT S & P 100 INDEX	02/18/97	SALE	1.00	10.8750	$1,031.46CR
$795 EXP 02/22/97 SYMBOL: OEXNS					
PUT S & P 100 INDEX	02/14/97	PURCHASE	1.00	11.0000	$1,156.00
$795 EXP 02/22/97 SYMBOL: OEXNS					
PUT S & P 100 INDEX	01/07/97	SALE	2.00	8.1250	$1,574.94CR
$725 EXP 01/18/97 SYMBOL: OEZME					
PUT S & P 100 INDEX	01/03/97	PURCHASE	2.00	10.7500	$2,212.87
$725 EXP 01/18/97 SYMBOL: OEZME					
CALL 3COM CORP	04/17/97	SALE	2.00	3.0000	$543.98CR
$35 EXP 10/18/97 SYMBOL: THQJG					
CALL 3COM CORP	04/22/97	PURCHASE	2.00	1.3750	$331.00
$35 EXP 10/18/97 SYMBOL: THQJG					

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 042 108600 AE 022

1997 ACTIVITY DETAILS

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
01-29	Sold	31	ABACAN RESOURCE CORP	10.4091	322.66	
01-22	Bought	42	ABITIBI PRICE INCORPORATED	17.3750	729.75	
04-10	Sold	42	ABITIBI PRICE INCORPORATED	14.2500	598.50	
03-12	Bought	32	ADAPTEC INC	38.3750	1,228.00	
07-31	Sold	10	ADAPTEC INC	42.2500	422.48	
12-29	Sold	22	ADAPTEC INC	36.8466	810.60	
04-09	Bought	15	ADECCO SA SP ADR	38.2500	573.75	
05-01	Bought	20	ADECCO SA SP ADR	40.7500	815.00	
11-19	Sold	35	ADECCO SA SP ADR	35.2500	1,233.70	
03-11	Bought	35	AJL PEPS TRUST 01.44 (PEPS)	15.7500	551.25	
08-26	Sold	35	AJL PEPS TRUST 01.44 (PEPS)	15 12/16	551.23	
10-03	Bought	8	AKZO NOBEL NV ADR	85.3743	682.99	
05-01	Bought	25	ALTERA CP	44.7175	1,117.94	
07-30	Sold	10	ALTERA CP	58.6875	586.86	
09-29	Sold	5	ALTERA CP	56.2500	281.24	
10-28	Sold	10	ALTERA CP	45.2050	452.03	
01-13	Bought	46	AMER POWER CONVER	28.1937	1,296.91	
06-27	Sold	46	AMER POWER CONVER	20.6563	950.15	
12-24	Bought	7	AMVESCAP PLC ADR	81.9195	573.44	
01-24	Sold	62	AMWAY JPN LTD SPON ADR	15.5678	965.16	
04-17	Sold	25	ASCEND COMMUNICATIONS INC	44.2853	1,107.09	
05-14	Stock Dividend	18	ASM LITHOGRAPHY HLDG NV ORD			
07-30	Sold	20	ASM LITHOGRAPHY HLDG NV ORD	86	1,719.94	
08-06	Sold	5	ASM LITHOGRAPHY HLDG NV ORD	81.7500	408.73	
12-16	Sold	11	ASM LITHOGRAPHY HLDG NV ORD	56.6250	622.85	
05-27	Bought	15	ASTRA AB CL B ADS	44.1250	661.88	
05-29	Stock Dividend	25	ASTRA AB CL B ADS			
08-14	Sold	40	ASTRA AB CL B ADS	16.7500	669.97	
11-03	Bought	31	AVX CORPORATION	27.1250	840.88	
12-24	Sold	31	AVX CORPORATION	19.4276	602.24	
03-03	Bought	20	AXA ADS	33.7500	675.00	
04-25	Bought	15	AXA ADS	31.1250	466.88	
06-06	Sold	35	AXA ADS	29.8750	1,045.59	
12-12	Bought	17	AXA-UAP	37.6234	639.60	
12-31	Bought	14	AXA-UAP	39	546.00	
07-30	Sold	20	BAAN COMPANY NV	70.7500	1,414.95	
12-17	Stock Dividend	19	BAAN COMPANY NV			
02-03	Bought	59	BANCO CENTRAL HISPANOAMER ADR	12.1500	716.85	
02-10	Bought	30	BANCO CENTRAL HISPANOAMER ADR	13.3182	399.46	
07-30	Sold	40	BANCO CENTRAL HISPANOAMER ADR	19.8750	794.97	
11-14	Sold	49	BANCO CENTRAL HISPANOAMER ADR	17.2348	844.48	
04-28	Bought	25	BANK OF IRELAND GRP	42.2500	1,056.25	
10-24	Sold	5	BANK OF IRELAND GRP	52.1250	260.62	
09-26	Bought	6	BARCLAYS PLC ADR	99.8750	599.25	

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 042 108600 AE 022

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	06-09	Sold	21	BASF AG NEW ADR	37.1757	780.66	
	06-17	Sold	20	BASF AG NEW ADR	37.6250	752.47	
	12-16	Bought	10	BAYERISCHE VEREINSBANK AG ADR	63.1250	631.25	
	03-13	Sold	10	BED BATH & BEYOND INC	26.1250	261.24	
	07-30	Sold	15	BED BATH & BEYOND INC	33.3750	500.61	
	10-28	Bought	39	BELL CANADA INTL INC	19	741.00	
	12-15	Bought	19	BENCKISER NV CLASS B	36.0143	684.27	
	02-27	Bought	26	BIOGEN INC MASS	49.7500	1,293.50	
	04-17	Sold	26	BIOGEN INC MASS	33	857.97	
	09-11	Bought	15	BMC SOFTWARE	68.5000	1,027.50	
	04-23	Bought	80	BOUYGUES OFFSHORE S.A.	13	1,040.00	
	06-17	Sold	80	BOUYGUES OFFSHORE S.A.	11.7500	939.96	
	07-09	Sold	18	BRITISH AIRWAYS FINL INST ADR	116.1956	2,091.45	
	05-20	Bought	4	BRITISH PETROLEUM PLC ADR	141.2500	565.00	
	06-05	Stock Dividend	4	BRITISH PETROLEUM PLC ADR			
	09-24	Bought	48	BTR PLC NEW ADR	15.8500	760.80	
	12-11	Sold	48	BTR PLC NEW ADR	11.8750	569.98	
	12-01	Bought	29	CADILLAC FAIRVIEW	23 5/16	676.06	
	12-24	Sold	29	CADILLAC FAIRVIEW	22 8/16	652.47	
	06-13	Sold	6	CANON INC ADR NEW	131.5000	788.97	
	06-25	Sold	5	CANON INC ADR NEW	133.5000	667.47	
	11-14	Sold	4	CANON INC ADR NEW	113 1/8	452.48	
	02-20	Bought	165	CARADON PLC ADR	4.5069	743.64	
	05-22	Sold	165	CARADON PLC ADR	3.5000	577.48	
	02-26	Sold	22	CASCADE COMMUNICATION CORP	26.3500	579.68	
	06-27	Bought	10	CASIO CMPTR ADR	82	820.00	
	11-17	Sold	10	CASIO CMPTR ADR	80	799.97	
	03-31	Sold	23	CATALINA MARKETING CORP	41.2965	949.78	
	12-31	Stock Dividend	27	CHESAPEAKE ENERGY CORP OKLA.			
	03-24	Sold	54	CHESAPEAKE ENERGY CORP	22.5910	1,219.86	
	01-21	Sold	187	CHEUNG KONG HOLDINGS ADR	9.9500	1,860.58	
	09-29	Bought	332	CIFRA SA DE CV SR B ADR	2.2458	745.61	
	03-04	Bought	24	CLARINS SA SPON ADR	28.3750	681.00	
	04-30	Sold	24	CLARINS SA SPON ADR	24.3750	584.98	
	12-12	Bought	11	COCA COLA FEMSA S A ADR	56.6739	623.41	
	12-02	Bought	31	COGNEX CORP	26.1250	809.88	
	01-13	Sold	9	COGNOS INC	25.8125	232.31	
	12-02	Bought	42	COLT TELECOM GROUP PLC ADR	39.6045	1,663.39	
	12-18	Bought	16	COM ANONIMA NATL TELE DE VEN	39 1/8	626.00	
	01-23	Sold	30	COMAIR HOLDINGS	24.2500	727.47	
	02-26	Sold	54	COMAIR HOLDINGS	20.0867	1,084.64	
	05-07	Bought	34	COMDISCO INC	33.0116	1,122.39	
	06-16	Stock Dividend	17	COMDISCO INC			
	07-30	Sold	20	COMDISCO INC	28.8125	576.23	
	11-28	Sold	31	COMDISCO INC	28.4714	882.58	
	07-28	Bought	20	COMMERZBANK AG ADR SPON	35.5867	711.73	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 842 108600 AE 022

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	09-17	Sold	20	COMMERZBANK AG ADR SPON	32.5000	649.97	
	12-31	Sold		COMP DE TELE DE CHIL ADR NEW A		6.03	CASH IN LIEU OF FRACTIONS
	02-04	Bought	5	COMP DE TELE DE CHIL ADR NEW A	25.1250	125.63	
	07-30	Sold	10	COMP DE TELE DE CHIL ADR NEW A	32.6875	326.86	
	08-07	Sold	16	COMP DE TELE DE CHIL ADR NEW A	32.7784	524.43	
	12-23	Bought	23	COMPAGIE GENERALE DE GEO	26.3750	606.63	
	03-26	Bought	88	COMPASS GROUP PLC ADR	11.1250	979.00	
	08-18	Sold	88	COMPASS GROUP PLC ADR	10.0500	884.37	
	03-13	Sold	10	COMPUWARE CORP	64.2500	642.47	
	04-14	Stock Dividend	18	COMPUWARE CORP			
	07-31	Sold	10	COMPUWARE CORP	61.1250	611.22	
	11-04	Stock Dividend	26	COMPUWARE CORP			
	11-26	Sold	17	COMPUWARE CORP	36.6352	622.77	
	12-26	Sold	11	COMPUWARE CORP	33.0257	363.26	
	03-13	Sold	20	CONCORD EFS INC	23.2500	464.98	
	04-17	Sold	53	CONCORD EFS INC	17.0227	902.17	
	02-11	Stock Dividend	28	CONSECO INC			
	03-13	Sold	25	CONSECO INC	42.3750	1,059.34	
	05-29	Sold	31	CONSECO INC	39.5000	1,224.45	
	05-08	Bought	34	CONTINENTIAL ALNS INC CL B	31.9606	1,086.66	
	07-31	Sold	10	CONTINENTIAL ALNS INC CL B	35.7500	357.48	
	06-09	Sold	44	CONTL AG SPONS ADR	22.1447	974.33	
	09-11	Bought	20	COOPER CAMERON CORP	65.3125	1,306.25	
	11-26	Sold	3	COOPER CAMERON CORP	63	188.99	
	12-19	Stock Dividend	52	CORE LABORATORIES N V			
	09-19	Bought	30	CREATIVE TECH LTD ORD	21.7500	652.50	
	12-12	Sold	30	CREATIVE TECH LTD ORD	21.9866	659.57	
	04-09	Sold	28	CRH PLC ADR	49	1,371.95	
	06-30	Bought	3	DAI NIPPON PRTG LTD JAPAN ADR	226	678.00	
	11-14	Sold	3	DAI NIPPON PRTG LTD JAPAN ADR	186	557.98	
	05-07	Stock Dividend	16	DAIMLER-BENZ AG RTS5 13 97			
	05-12	Sold	16	DAIMLER-BENZ AG RTS5 13 97	5/64	1.25	
	03-13	Sold	10	DAIMLERBENZ AKTIENGESELLSCHAFT	77.2500	772.47	
	08-12	Sold	16	DAIMLERBENZ AKTIENGESELLSCHAFT	80	1,279.95	
	11-19	Bought	82	DARDEN RESTAURANTS	11.0625	907.13	
	09-30	Bought	11	DASSAULT SYSTEMS SA ADS	63.2500	695.75	
	10-21	Stock Dividend	11	DASSAULT SYSTEMS SA ADS			
	12-31	Bought	12	DASSAULT SYSTEMS SA ADS	29	348.00	
	05-16	Bought	70	DEUTSCHE LUFTHANSA AG ADR	16.6923	1,168.46	
	07-31	Sold	20	DEUTSCHE LUFTHANSA AG ADR	19.6250	392.48	
	08-27	Bought	11	DEUTSCHE BANK AG SP ADR	62.3486	685.83	
	10-07	Bought	10	DEXTER CORP	39.6250	396.25	
	12-22	Bought	34	DISTRIBUCION Y SERV D&S SA ADS	18.6250	633.25	
	01-17	Sold	25	DIXONS GRP PLC ADR	25.7500	643.72	
	08-26	Bought	33	DIXONS GRP PLC ADR	31.9938	1,055.80	
	12-16	Sold	33	DIXONS GRP PLC ADR	30.3438	1,001.31	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

N.CK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108000 AE 022

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	03-03	Bought	44	DOLLAR GENERAL CORPORATION	28.6250	1,259.50	
	07-30	Sold	20	DOLLAR GENERAL CORPORATION	44.7500	894.97	
	09-22	Stock Dividend	6	DOLLAR GENERAL CORPORATION			
	06-25	Bought	26	DR. SOLOMONS GP PLC ADR	22.6250	588.25	
	07-25	Sold	26	DR. SOLOMONS GP PLC ADR	25.7590	669.70	
	02-03	Sold	29	DRECO ENERGY SVC A	38.9762	1,130.27	
	03-11	Sold	42	DSP COMMUNICATION INC	10.0670	422.79	
	01-15	Bought	19	ELAN PLC ADR	37.9004	720.11	
	11-14	Sold	19	ELAN PLC ADR	52.4739	996.96	
	01-21	Bought	37	ELECTROBRAS ADR PRF	19.5000	721.50	
	08-06	Bought	10	ELF AQUITAINE SPON ADR	55.5625	555.63	
	08-26	Bought	7	ELF AQUITAINE SPON ADR	58 2/16	406.88	
	02-24	Sold	10	ENI SPA AMER DEP RCPT	53.1250	531.23	
	03-12	Sold	15	ENI SPA AMER DEP RCPT	50.5000	757.47	
	02-21	Sold	40	ENTERPR OIL PLC SPON ADR ORD	31.5000	1,259.95	
	02-04	Bought	25	ERICSSON LM TEL ADR B SEK 10	32.5000	812.50	
	03-13	Sold	10	ERICSSON LM TEL ADR B SEK 10	35.8750	358.73	
	04-25	Sold	41	ERICSSON LM TEL ADR B SEK 10	32.0258	1,313.01	
	05-05	Bought	35	ERICSSON LM TEL ADR B SEK 10	32.6250	1,141.88	
	07-30	Sold	15	ERICSSON LM TEL ADR B SEK 10	46.0625	690.91	
	06-23	Bought	119	FIRST SOUTH AFRICA CORP LTD	7.5095	893.63	
	07-30	Sold	20	FIRST SOUTH AFRICA CORP LTD	7.5625	151.24	
	08-29	Bought	20	FIRSTPLUS FINANCIAL GROUP INC	43.3333	866.67	
	01-09	Sold	38	FLEETWOOD ENTERPRISES	26.6208	1,011.55	
	05-27	Sold	37	FRESENIUS MEDICAL CARE AG	28.4295	1,051.85	
	01-10	Bought	35	FRUIT OF THE LOOM A	36.5576	1,279.52	
	06-19	Sold	35	FRUIT OF THE LOOM A	32.8750	1,150.59	
	06-25	Sold	10	FUJI PHOTO ADR NEW	38.2500	382.48	
	05-15	Bought	10	FUJITSU LTD ADR NEW	57	570.00	
	06-27	Bought	14	FUJITSU LTD ADR NEW	70	980.00	
	09-03	Sold	9	FUJITSU LTD ADR NEW	61.5000	553.48	
	10-08	Sold	15	FUJITSU LTD ADR NEW	62	929.96	
	06-27	Bought	13	FURUKAWA ELECT ADR	63.5000	825.50	
	09-16	Sold	13	FURUKAWA ELECT ADR	53	688.97	
	04-17	Sold	44	GARTNER GROUP CL A	23.6443	1,040.31	
	04-18	Sold	10	GATEWAY 2000 INC	56.3750	563.73	
	06-16	Stock Dividend	16	GATEWAY 2000 INC			
	07-29	Sold	20	GATEWAY 2000 INC	43.2271	864.51	
	08-28	Sold	12	GATEWAY 2000 INC	41.0079	492.07	
	08-12	Bought	36	GENCORP INC	27.7362	998.50	
	12-30	Sold	24	GENCORP INC	23 2/16	554.98	
	07-11	Bought	39	GENSET ADR	19.1250	745.88	
	10-29	Bought	46	GETTY COMMUNICATIONS PLC ADR	16	736.00	
	07-30	Sold	10	GILAT SATELLITE NTWK LTD ORD	32.5000	324.98	
	04-28	Bought	25	GLAXO WELLCOME PLC ADS	37.8750	946.88	
	07-30	Sold	10	GLAXO WELLCOME PLC ADS	44.3750	443.73	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108000 AE 022

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
03-26	Bought	55	GLOBAL MARINE INC NEW	21.6250	1,189.38	
07-30	Sold	20	GLOBAL MARINE INC NEW	27	539.98	
12-31	Sold	35	GLOBAL MARINE INC NEW	24.8077	868.24	UNSETTLED SALE
07-30	Sold	15	GREEN TREE FINANCIAL CORP	45	674.97	
12-16	Sold	20	GREEN TREE FINANCIAL CORP	24.1012	482.00	
02-11	Sold	38	GROUPE AB SA ADS	12.7319	483.79	
11-25	Bought	26	GROUPE DANONE SPONSORED ADR	31	806.00	
12-26	Bought	3	GROUPE DANONE SPONSORED ADR	36.3581	109.07	
01-23	Sold	20	GRUPO IND MASECA SA DE CV ADS	19.8750	397.48	
03-05	Sold	42	GRUPO IND MASECA SA DE CV ADS	17.8816	751.00	
06-13	Sold	75	GUANGDONG INV LTD SP ADR	11.8750	890.60	
01-14	Sold	10	GUCCI GROUP NV	67.1250	671.22	
01-16	Bought	83	GULF CANADA RESOURCES LTD	8.9534	743.13	
02-19	Sold	83	GULF CANADA RESOURCES LTD	7.6250	632.85	
10-24	Bought	34	GULF INDONESIA RES LIMITED	21 9/16	733.13	
12-23	Sold	34	GULF INDONESIA RES LIMITED	22.2500	756.47	
03-13	Sold	10	HBO & CO	58	579.98	
09-09	Stock Dividend	18	HBO & CO			
09-26	Sold	5	HBO & CO	40.1250	200.62	
03-13	Sold	15	HEALTH MGMT ASSOC CL A	27.7500	416.23	
10-23	Stock Dividend	21	HEALTH MGMT ASSOC CL A			
12-26	Sold	51	HEALTH MGMT ASSOC CL A	23.3783	1,192.25	
02-27	Bought	28	HELMERICH&PAYNE INC	44.5000	1,246.00	
07-30	Sold	10	HELMERICH&PAYNE INC	65.1875	651.85	
11-26	Sold	5	HELMERICH&PAYNE INC	77.2306	386.13	
06-26	Bought	7	HITACHI 10 COM NEW ADR	116.2623	813.84	
09-03	Sold	7	HITACHI 10 COM NEW ADR	93.7261	656.05	
01-14	Sold	15	HONDA MOTOR COMPANY LTD ADR	53.3787	800.65	
06-25	Sold	27	HONDA MOTOR COMPANY LTD ADR	57.2573	1,545.89	
09-26	Bought	10	HONDA MOTOR COMPANY LTD ADR	69.0044	690.04	
12-16	Bought	8	HONDA MOTOR COMPANY LTD ADR	75	600.00	
02-04	Bought	10	HSBC HLDG PLC SPND ADR NEW	229.5000	2,295.00	
07-30	Sold	10	HSBC HLDG PLC SPND ADR NEW	332.5000	3,324.88	
02-04	Bought	5	HUTCHISON WHAMPOA ADR	38.1250	190.63	
07-30	Sold	10	HUTCHISON WHAMPOA ADR	44.7500	447.48	
05-15	Bought	15	IMPL CHEM IND PLC ADR NEW	51.6250	774.38	
06-20	Sold	15	IMPL CHEM IND PLC ADR NEW	54.9347	823.99	
07-30	Sold	20	ING GROEP NV ADR	49.1875	983.71	
10-16	Sold	27	ING GROEP NV ADR	45.8948	1,239.11	
06-02	Bought	25	JONES APPAREL GRP INC	46.2217	1,155.54	
07-30	Sold	10	JONES APPAREL GRP INC	52.4375	524.36	
08-26	Bought	27	K L M ROYAL DUTCH AIRLINES	37	999.00	
09-29	Bought	48	KAUFMAN & BROAD HOME CP	20.4706	982.59	
02-04	Sold	28	KINGFISHER PLC SPN ADR	21.5569	603.56	
01-09	Sold	5	KOMATSU LTD ADR	160	799.97	
02-05	Bought	34	KOOR INDS LTD	19.8750	675.75	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108000 AE 022

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	04-25	Sold	34	KOOR INDS LTD	17.5025	595.07	
	06-27	Bought	5	KYOCERA CP ADR	158.5000	792.50	
	09-16	Sold	5	KYOCERA CP ADR	132.5938	662.94	
	01-08	Sold	52	LA QUINTA INNS INC	18.3125	952.21	
	01-06	Bought	235	LADBROKE GROUP PLC ADR	4.1000	963.50	
	02-03	Bought	205	LADBROKE GROUP PLC ADR	3.8500	789.25	
	05-14	Sold	235	LADBROKE GROUP PLC ADR	3.8000	892.97	
	07-30	Sold	40	LADBROKE GROUP PLC ADR	4.2500	169.99	
	12-01	Bought	22	LEGATO SYSTEMS INC	36.4867	802.71	
	04-02	Bought	33	LOGITECH INTL SA ADR	16	528.00	
	04-28	Bought	22	LOGITECH INTL SA ADR	18.7500	412.50	
	07-25	Sold	55	LOGITECH INTL SA ADR	16.7500	921.21	
	12-22	Bought	25	MAGYAR TAVKOZLESIRT	23.9777	599.44	
	06-27	Bought	21	MARUICO LTD ADR NEW	40.2500	845.25	
	12-18	Sold	21	MARUICO LTD ADR NEW	30.2500	635.22	
	02-18	Sold	18	MEMTEC LTD ADR NEW	22.4643	404.34	
	12-12	Bought	39	METTLER TOLEDO INTL	18.0628	704.45	
	03-27	Bought	60	MICRON ELECTRONICS INC	19.2450	1,154.70	
	04-18	Sold	15	MICRON ELECTRONICS INC	22.3750	335.61	
	05-19	Sold	45	MICRON ELECTRONICS INC	16.6120	747.51	
	01-24	Sold	33	MINEBEA LTD ADR	38.5000	1,270.45	
	06-16	Bought	55	MINEBEA LTD SPONS ADR	22.5000	1,237.50	
	12-26	Bought	25	MINEBEA LTD SPONS ADR	21.7500	543.75	
	12-29	Bought	2	MINEBEA LTD SPONS ADR	21.6250	43.25	
	06-26	Bought	4	MITSUI & CO LTD ADR	190.5000	762.00	
	09-24	Sold	4	MITSUI & CO LTD ADR	150.3750	601.48	
	12-24	Bought	5	NATL WESTMINSTER BK PLC ADR	104.8120	524.06	
	09-24	Sold	18	NEC CORP ADR	56.8750	1,023.71	
	09-30	Bought	10	NESTLE SPON ADR REP REG SHR	70.5000	705.00	
	10-16	Bought	11	NEWBRIDGE NETWORKS	65	715.00	
	11-13	Sold	11	NEWBRIDGE NETWORKS	44	483.98	
	12-22	Bought	29	NEWS CP LTD ADR NEW	21.7500	630.75	
	01-23	Sold	25	NICE SYSTEMS LTD ADR	22.1250	553.11	
	03-20	Sold	27	NICE SYSTEMS LTD ADR	18.8750	509.61	
	07-30	Sold	70	NINTENDO CO LTD ADR NEW	11.6250	813.72	
	09-16	Sold	51	NINTENDO CO LTD ADR NEW	10.5000	535.48	
	02-20	Sold	29	NIPPON TELEGRAPH&TELEPHONE ADS	35	1,014.96	
	03-03	Bought	31	NO FORK BANCORP	40.7760	1,264.06	
	05-15	Stock Dividend	31	NO FORK BANCORP			
	07-30	Sold	25	NO FORK BANCORP	25.1875	629.66	
	01-23	Sold	25	NOBLE DRILLING	22.6250	565.61	
	02-28	Sold	53	NOBLE DRILLING	18	953.96	
	04-23	Sold	24	NOKIA CP ADR	58.2657	1,398.33	
	09-19	Bought	8	NOKIA CP ADR	83.8750	671.00	
	02-11	Bought	15	NORTHERN TELECOM LTD	71.9937	1,079.91	
	02-10	Sold	15	NOVARTIS AG ADR	58.2500	873.72	

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 042 108000 AE 022

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	04-28	Bought	10	NOVARTIS AG ADR	64	640.00	
	08-18	Sold	10	NOVARTIS AG ADR	75	749.97	
	09-17	Bought	13	NOVEL DENIM HOLDINGS LTD	25.6250	333.13	
	01-07	Bought	17	NOVO NORDISK A/S ADR	45.4987	773.48	
	08-21	Sold	17	NOVO NORDISK A/S ADR	49.5159	841.74	
	04-01	Bought	25	NY TIMES CL A COMMON	46.5000	1,162.50	
	07-31	Sold	10	NY TIMES CL A COMMON	50 11/16	506.86	
	08-14	Sold	15	NY TIMES CL A COMMON	47.8250	717.35	
	09-19	Sold	14	OCE VAN DER GRITEN NV ADR	112.3269	1,572.52	
	07-30	Sold	10	OIL CO LUKOIL SPN ADR	90	899.97	
	09-05	Sold	6	OIL CO LUKOIL SPN ADR	95	569.98	
	04-18	Bought	20	OMNICOM GROUP	49.8726	997.45	
	09-26	Sold	5	OMNICOM GROUP	73.8948	369.45	
	05-07	Bought	39	OWENS ILLINOIS COM NEW	29.2500	1,140.75	
	07-30	Sold	15	OWENS ILLINOIS COM NEW	30.9375	464.04	
	10-29	Sold	24	OWENS ILLINOIS COM NEW	34.0729	817.72	
	04-18	Sold	15	OXFORD HEALTH PLANS	63	944.96	
	09-29	Sold	5	OXFORD HEALTH PLANS	76.7500	383.73	
	11-07	Sold	10	OXFORD HEALTH PLANS	26.1068	261.06	
	03-25	Sold	32	PAIRGAIN TECHNOLOGIES	25.8267	826.42	
	03-13	Bought	10	PANAMERICAN BEVERAGES CLASS A	57.3937	573.94	
	03-31	Stock Dividend	10	PANAMERICAN BEVERAGES CLASS A			
	07-28	Sold	20	PANAMERICAN BEVERAGES CLASS A	29.7334	594.67	
	01-06	Bought	65	PEARSON PLC SP ADR	13.2500	861.25	
	05-09	Sold	65	PEARSON PLC SP ADR	11.5000	747.47	
	08-27	Bought	29	PEPSI GEMEX S A DE C V ADR	16.6250	482.13	
	11-19	Sold	29	PEPSI GEMEX S A DE C V ADR	13	376.98	
	02-04	Bought	5	PEREZ COMPANC SA SPS ADR	14.8750	74.38	
	06-11	Stock Dividend	5	PEREZ COMPANC SA SPS ADR			
	02-04	Bought	10	PERUSAHAAN PERSEROAN INDONESIA	35.5000	355.00	
	03-21	Sold	21	PERUSAHAAN PERSEROAN INDONESIA	30	629.97	
	01-31	Bought	10	PETROLIUM GEO SVCES A/S ADS	43.8750	438.75	
	07-30	Sold	15	PETROLIUM GEO SVCES A/S ADS	53.3750	800.60	
	06-30	Bought	10	PHILIPS ELECTR NV (HOLDING CO)	72.2154	722.15	
	08-26	Bought	5	PHILIPS ELECTR NV (HOLDING CO)	76 13/16	384.06	
	05-02	Sold	33	PHYCOR INC	24.2137	799.02	
	09-23	Bought	12	POLYGRAM NV	57.8600	694.32	
	01-31	Bought	20	PORTUGAL TELECOM S.A. ADS	34.3750	687.50	
	01-14	Sold	15	QIAGEN NV	27.5568	413.33	
	07-14	Sold	25	QIAGEN NV	58.3519	1,458.75	
	01-27	Sold	17	QUINTILES TRANSNATIONAL	76.1013	1,293.67	
	07-10	Bought	100	RELIANCE GROUP HOLDINGS INC	12.6231	1,262.31	
	07-30	Sold	35	RELIANCE GROUP HOLDINGS INC	13.5625	474.67	
	10-01	Sold	15	RELIANCE GROUP HOLDINGS INC	14	209.99	
	11-03	Sold	50	RELIANCE GROUP HOLDINGS INC	12.7500	637.47	
	10-16	Bought	9	REUTERS HLDGS PLC ADR B	73.1250	658.13	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108600 AE 022

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
03-03	Bought	19	RICOH LTD ADR	59.3992	1,128.58	
12-30	Sold	19	RICOH LTD ADR	61.2000	1,162.76	
02-20	Bought	8	ROCHE HOLDINGS ADR	86.7500	694.00	
10-15	Sold	8	ROCHE HOLDINGS ADR	89	711.97	
01-24	Sold	40	ROLLS ROYCE PLC SPONS ADR	19.6252	784.98	
01-14	Bought	54	ROWAN COMPANIES INC	25.3750	1,370.25	
04-17	Sold	54	ROWAN COMPANIES INC	20.0086	1,080.42	
05-15	Sold	16	ROYAL BANK OF CANADA	42.9131	686.58	
04-23	Bought	10	ROYAL DUTCH PETE NY RG 5 GLDR	175.3559	1,753.56	
07-01	Received	40	ROYAL DUTCH PETE NY 1.25 GU			EXCHANGE
07-01	Tender	10	ROYAL DUTCH PETE NY RG 5 GLDR			EXCHANGE
07-30	Sold	15	ROYAL DUTCH PETE NY 1.25 GU	54.6875	820.28	
08-25	Bought	15	RWE AG SPONSORED ADR	45.6965	685.45	
08-26	Bought	7	RWE AG SPONSORED ADR	45.5000	318.50	
08-25	Bought	28	RYANAIR HLDGS PLC ADR	23.9943	671.84	
01-23	Sold	25	SAFEWAY INC COM NEW	46.7500	1,168.71	
06-30	Sold	27	SAFEWAY INC COM NEW	47.7371	1,288.85	
04-23	Bought	20	SAP AKRIEN SPN ADR	55.8291	1,116.58	
07-30	Sold	10	SAP AKRIEN SPN ADR	79	789.97	
06-17	Sold	18	SAVILLE SYSTEMS PLC ADR	42.4480	764.03	
05-22	Bought	19	SCI SYSTEMS INC	57.3750	1,090.13	
08-22	Stock Dividend	19	SCI SYSTEMS INC			
09-29	Sold	10	SCI SYSTEMS INC	47.1298	471.28	
01-14	Bought	5	SCOIEDAD QUIMICA Y MINERA ADS	57.8306	289.15	
07-24	Sold	5	SCOIEDAD QUIMICA Y MINERA ADS	62.2442	311.20	
05-15	Bought	10	SEVEN ELEVEN JAPAN CO LTD ADR	68.7500	687.50	
01-24	Sold	32	SGL CARBON ADR	39.6742	1,269.52	
01-23	Bought	20	SGS THOMSON MICROELEC	79.1438	1,582.88	
04-21	Sold	20	SGS THOMSON MICROELEC	67.0395	1,340.74	
05-05	Bought	15	SGS THOMSON MICROELEC	78.0109	1,170.16	
10-21	Sold	15	SGS THOMSON MICROELEC	78.8924	1,183.35	
01-24	Sold	8	SHARP CORPORATION A D R	119.2500	953.96	
02-18	Sold	12	SHL TRNS&TRAD PLC NY SH NEW	104.1491	1,249.74	
09-30	Bought	116	SIDERURGICA SPON ADR	5.9724	692.80	
06-30	Bought	17	SOLECTRON CP	69.5918	1,183.06	
08-04	Stock Dividend	17	SOLECTRON CP			
10-30	Sold	34	SOLECTRON CP	38	1,291.95	
10-28	Bought	41	SOUTHCORP HOLDINGS LTD SPN ADR	18.2500	748.25	
03-10	Sold	17	STET SOCIETA FIN TELEF SP ADR	43.8750	745.85	
06-30	Bought	12	STET SOCIETA FIN TELEF SP ADR	60.7500	729.00	
03-31	Sold	34	STORAGE TECHNOLOGY CORP NEW	37.8101	1,285.49	
06-27	Bought	5	SUMITOMO ELECTRIC INDUSTR ADR	164	820.00	
09-16	Sold	5	SUMITOMO ELECTRIC INDUSTR ADR	141.1735	705.84	
06-16	Bought	10	SUMITUMO BK LTD ADR	152.9089	1,529.09	
11-18	Sold	10	SUMITUMO BK LTD ADR	93.0717	930.68	
07-30	Sold	15	SYBRON INTL CP MISC	39.9375	599.04	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 642 108600 AE 022

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	12-26	Sold	21	SYBRON INTL CP WISC	44.9138	943.15	
	08-29	Sold	15	TAIYO YUDEN CO LTD UNSP ADR	47	704.97	
	01-14	Sold	10	TDK CP ADR NEW	61.5910	615.88	
	06-30	Sold	10	TDK CP ADR NEW	72.6912	726.88	
	12-22	Sold	13	TDK CP ADR NEW	76.6495	996.40	
	02-12	Bought	7	TELE BRASILEIRAS SA SPND ADR	89.3750	625.63	
	11-17	Sold	7	TELE BRASILEIRAS SA SPND ADR	90	629.97	
	12-22	Bought	19	TELE DENMARK A/S ADS	32.3723	615.07	
	01-30	Sold	5	TELECOM CP NZ LTD ADS	81.8448	409.20	
	01-17	Sold	40	TELEDATA COMMUNICATIONS ORD	27.2522	1,090.05	
	03-24	Sold	19	TELEDATA COMMUNICATIONS ORD	18.5912	353.21	
	02-03	Bought	10	TELEFONICA DE ESPANA SA ADR	70	700.00	
	02-04	Bought	10	TELEFONICA DE ARGENTINA S.A.	28.5000	285.00	
	02-25	Sold	10	TELEFONICA DE ESPANA SA ADR	69.1390	691.36	
	03-21	Sold	12	TELEFONICA DE ESPANA SA ADR	70.1250	841.47	
	07-25	Sold	23	TELEFONICA DE ARGENTINA SA ADR	35 3/8	813.60	
	01-15	Bought	19	TELEFONOS DE MX SA DE CV ADR	37	703.00	
	02-04	Sold	19	TELEFONOS DE MX SA DE CV ADR	37.2500	707.72	
	07-02	Bought	35	TELEFONOS DE MX SA DE CV ADR	48 7/16	1,695.31	
	07-28	Bought	35	TELEFONOS DE MX SA DE CV ADR	50.5630	1,769.71	
	07-30	Sold	15	TELEFONOS DE MX SA DE CV ADR	51.9375	779.03	
	08-14	Sold	37	TELEFONOS DE MX SA DE CV ADR	52.5460	1,944.13	
	09-22	Sold	18	TELEFONOS DE MX SA DE CV ADR	47.5000	854.97	
	11-17	Bought	18	TEXAS INDUSTRIES	48.5934	874.68	
	05-30	Bought	24	TJX COS INC NEW	48.4892	1,163.74	
	06-26	Stock Dividend	24	TJX COS INC NEW			
	07-30	Sold	20	TJX COS INC NEW	29	579.98	
	01-23	Sold	20	TOMRA SYS A/S ADR NEW	18.5000	369.98	
	02-10	Sold	5	TOMRA SYS A/S ADR NEW	19.4073	97.03	
	09-22	Bought	13	TOTAL SA SPONSORED ADR	54.8903	713.67	
	12-02	Sold	13	TOTAL SA SPONSORED ADR	51.5000	669.47	
	02-20	Bought	21	TOYOTA MOTOR CP ADR NEW	55.6250	1,168.13	
	06-26	Sold	21	TOYOTA MOTOR CP ADR NEW	58.2500	1,223.20	
	10-30	Bought	19	TRANSACTION SYS ARCH INC A	43.7239	830.75	
	01-23	Sold	20	TUBOS DE ACERO NEW ADR	17.2500	344.98	
	05-01	Sold	39	TUBOS DE ACERO NEW ADR	16.3750	638.60	
	12-26	Bought	30	TUBOS DE ACERO NEW ADR	20.0555	601.67	
	08-27	Bought	25	TV AZTECA S.A. DE C.V.	19 2/16	478.13	
	11-14	Sold	25	TV AZTECA S.A. DE C.V.	17 12/16	443.73	
	10-24	Bought	18	UNIBANCO GDS	41	738.00	
	11-05	Sold	18	UNIBANCO GDS	26	467.98	
	05-08	Bought	34	UNIFI INC	32.7500	1,113.50	
	06-19	Sold	24	UNIFI INC	33	791.97	
	11-03	Bought	22	UNILEVER PLC AMER SHARES	30.7612	676.75	
	12-29	Bought	20	UNION BK SWITZ SPS ADR	29.7500	595.00	
	05-29	Sold	48	UTD ASSET MANAGEMENT	27.2500	1,307.95	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #1-NICHOLAS APPLEGATE

Account Number 842 108600 AE 022

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
07-22	Sold	14	VINA CONCHA Y TORO S.A. ADS	31	433.98	
12-18	Bought	36	VIRGIN EXPRESS HLDG PLC SP ADR	17.6250	634.50	
10-22	Bought	28	VLSI TECHNOLOGY INC	34.2600	959.28	
12-26	Sold	28	VLSI TECHNOLOGY INC	20.7279	580.36	
09-17	Sold	15	VOLKSWAGEN AG SPON ADR	129.3200	1,939.73	
12-31	Bought	14	WEBSTER FINCL CORP	62.7500	878.50	
02-14	Sold	23	WESTERN AREAS GOLD MNG LTD ADR	11.7500	270.24	
01-23	Sold	20	WESTERN DIGITAL CORPORATION	69.7500	1,394.95	
03-13	Sold	10	WESTERN DIGITAL CORPORATION	60.2500	602.48	
06-03	Stock Dividend	19	WESTERN DIGITAL CORPORATION			
06-13	Sold	18	WESTERN DIGITAL CORPORATION	29.2124	525.80	
10-22	Sold	20	WESTERN DIGITAL CORPORATION	36.2966	725.90	
01-08	Sold	24	WESTPAC BANKING SPONS ADR	28.3750	680.97	
07-01	Bought	28	WESTPAC BANKING SPONS ADR	29.7500	833.00	
07-30	Sold	20	WOOLWORTH CORP	26.9375	538.73	
09-02	Sold	36	WOOLWORTH CORP	22.9707	826.92	
05-14	Sold	20	WPP GROUP PLC ADR NEW	40.8750	817.47	
05-21	Sold	15	WPP GROUP PLC ADR NEW	40.6250	609.35	
06-26	Bought	22	YASUDA TR & BKG LTD ADR	37	814.00	
09-03	Sold	5	YASUDA TR & BKG LTD ADR	36	179.99	ICS
09-25	Sold	17	YASUDA TR & BKG LTD ADR	30	509.98	

Income

Activity	Description	Amount	Income Category
Dividend	ACTIVE ASSETS MONEY TRUST	255.48	Money Market Funds
Dividend	ABITIBI PRICE INCORPORATED	3.05	Stocks
Dividend	ADECCO SA SP ADR	12.93	Stocks
Dividend	AJL PEPS TRUST $1.44 (PEPS)	25.20	Stocks
Dividend	AKZO NOBEL NV ADR	5.04	Stocks
Dividend	AXA ADS	19.47	Stocks
Dividend	BANCO CENTRAL HISPANOAMER ADR	17.35	Stocks
Dividend	BANK OF IRELAND GRP	17.79	Stocks
Dividend	BASF AG NEW ADR	38.60	Stocks
Dividend	BRIDGESTONE CP ADR	5.25	Stocks
Dividend	BRITISH AIRWAYS FINL INST ADR	54.86	Stocks
Dividend	BTR PLC NEW ADR	12.84	Stocks
Dividend	CANON INC ADR NEW	6.37	Stocks
Dividend	CARADON PLC ADR OLD	17.16	Stocks
Dividend	COFLEXIP SPONSORED ADR	2.76	Stocks
Dividend	COMAIR HOLDINGS	3.24	Stocks
Dividend	COMDISCO INC	5.65	Stocks
Dividend	COMP DE TELE DE CHIL ADR NEW A	6.51	Stocks
Dividend	COMPASS GROUP PLC ADR	3.73	Stocks
Dividend	CONSECO INC	2.72	Stocks
Dividend	CONTL AG SPONS ADR	14.83	Stocks
Dividend	CRH PLC ADR	15.16	Stocks

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
38	ROYAL DUTCH PETE NY 1.25 GU	54 3/16	2,059.12	2.0%	47	2.29%	RD	Next Dividend Payable 04/98
30	SEARS ROEBUCK & CO	45 1/4	1,357.50	1.4%	27	2.03%	S	Next Dividend Payable 01/02/98
75	SOCIETE GENERALE SP ADR	27 1/4	2,043.75	2.0%	37	1.85%	SCGLY	Next Dividend Payable 00/00
33	SONY CORP ADR 1974 NEW	90 3/4	2,994.75	3.0%	12	.42%	SNE	Next Dividend Payable 06/98
67	TRAVELERS GROUP INC	53 7/8	3,609.62	3.6%	33	.92%	TRV	Next Dividend Payable 02/98
60	UNILEVER PLC AMER SHARES	34 1/2	2,070.00	2.0%	23	1.14%	UL	Next Dividend Payable 06/98
35	ZURICH INSURANCE CO REG ADR	95 3/8	3,338.12	3.3%	29	.88%	ZURRY	Next Dividend Payable 00/00
	Total Common Stocks		93,123.32	92.8%	1,738	1.86%		
Preferred Stocks								
184	FIAT SPA PREF AM DEP SH	7 9/16	1,391.50	1.3%	36	2.63%	FIAPR	Next Dividend Payable 08/98
Total Stocks			$94,514.82	94.1%	$1,775	1.87%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	100,470.11	$2,090

1997 ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	06-13	Bought	135	ABN AMRO ADR	19.2490	2,598.62	
	07-30	Sold	50	ABN AMRO ADR	23.8750	1,193.71	
	03-13	Sold	45	ALCATEL ALSTHOM SPON ADR	22.2500	1,001.21	
	07-30	Sold	40	ALCATEL ALSTHOM SPON ADR	25.2500	1,009.96	
	09-15	Sold	10	AMERITECH CORP	63.4375	634.35	
	02-10	Sold	121	ARCHER DANIELS MIDLAND	19.1250	2,314.05	
	05-29	Stock Dividend	88	ASTRA AB CL B ADS			
	02-13	Sold	105	BANCO CENTRAL HISPANOAMER ADR	13.4886	1,416.25	
	06-16	Stock Dividend	25	BANKAMERICA CORP			
	07-30	Sold	20	BANKAMERICA CORP	71.2500	1,424.95	
	02-05	Sold	60	BRITISH GAS PLC ADR	35.1213	2,107.20	
	07-30	Sold	15	CADBURY SCHW PLC ADR 10 ORD NW	39.5625	593.42	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	03-13	Sold	35	COMPAGNIE GENERALE DE EAUX ADR	28	979.96	
	05-07	Stock Dividend	40	DAIMLER-BENZ AG RTS5 13 97			
	05-12	Sold	40	DAIMLER-BENZ AG RTS5 13 97	5/64	3.12	
	07-30	Sold	15	DAIMLERBENZ AKTIENGESELLSCHAFT	82.9375	1,244.01	
	07-30	Sold	25	DEERE & CO	56	1,399.95	
	07-30	Sold	15	DEUTSCHE BANK AG SP ADR	66.2500	993.71	
	12-19	Received	50	DIAGEO PLC ADS			EXCHANGE
	03-13	Sold	20	DU PONT EI DE NEMOURS & CO	112.3750	2,247.42	
	06-12	Stock Dividend	29	DU PONT EI DE NEMOURS & CO			
	07-30	Sold	15	DU PONT EI DE NEMOURS & CO	66.6875	1,000.27	
	07-30	Sold	25	ELF AQUITAINE SPON ADR	54.5625	1,364.01	
	09-15	Sold	10	ELF AQUITAINE SPON ADR	60.5000	604.97	
	07-30	Sold	15	EMPRESA NATL DE EL SA ADR	82.3750	1,235.58	TRADE CARRIES STOCK DISTRIB.
	07-31	Stock Dividend	120	EMPRESA NATL DE EL SA ADR			
	07-30	Sold	15	ENI SPA AMER DEP RCPT	58.9375	884.03	
	08-11	Stock Dividend	16	FIAT SPA PREF AM DEP SH			
	03-13	Sold	10	GENERAL ELECTRIC CO	105.2500	1,052.46	
	05-09	Stock Dividend	20	GENERAL ELECTRIC CO			
	07-30	Sold	10	GENERAL ELECTRIC CO	72.4375	724.35	
	07-30	Sold	25	GRAND MET PLC LTD SPNSR ADR	40.4375	1,010.90	
	12-19	Tender	50	GRAND MET PLC LTD SPNSR ADR			EXCHANGE
	03-13	Sold	40	HOECHST AG ADR NEW	46.3750	1,854.93	
	09-15	Sold	10	HOECHST AG ADR NEW	43.1250	431.23	
	10-02	Received	45	HOECHST AKTIENGESELLSHAFT			EXCHANGE
	10-02	Tender	45	HOECHST AG ADR NEW			EXCHANGE
	03-17	Sold	55	HONDA MOTOR COMPANY LTD ADR	60.6616	3,336.27	
	07-30	Sold	5	HSBC HLDG PLC SPND ADR NEW	332.5000	1,662.44	
	03-13	Sold	6	INTL BUSINESS MACHINES CORP	146.1250	730.60	
	05-27	Stock Dividend	15	INTL BUSINESS MACHINES CORP			
	07-30	Sold	10	INTL BUSINESS MACHINES CORP	106.6250	1,066.21	
	07-30	Sold	5	LOCKHEED MARTIN CORP	101.6875	508.42	
	06-24	Stock Dividend	10	MOBIL CORP DELAWARE			
	07-30	Sold	20	NATIONAL POWER PLC ADS	39.1250	782.47	
	07-30	Sold	10	NESTLE SPON ADR REP REG SHR	62.8750	628.72	
	09-03	Sold	70	NKK CORP ADR	15.2084	1,064.55	
	03-27	Bought	20	NOVARTIS AG ADR	58.8460	1,176.92	
	07-30	Sold	20	NOVARTIS AG ADR	78.5000	1,569.94	
	03-13	Sold	25	PHILIP MORRIS CO INC	137.5000	3,437.38	
	04-10	Stock Dividend	48	PHILIP MORRIS CO INC			
	07-30	Sold	55	RHONE-POULENC AMER DEPOSIT SHS	41.7500	2,296.17	
	07-30	Sold	10	RICOH LTD ADR	70	699.97	
	03-13	Sold	5	ROYAL DUTCH PETE NY RG 5 GLDR	179	894.97	
	07-01	Received	48	ROYAL DUTCH PETE NY 1.25 GU			EXCHANGE
	07-01	Tender	12	ROYAL DUTCH PETE NY RG 5 GLDR			EXCHANGE
	09-15	Sold	10	ROYAL DUTCH PETE NY 1.25 GU	52.5625	525.61	
	07-30	Sold	15	SEARS ROEBUCK & CO	61.8125	927.15	

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
03-24	Bought	105	SOCIETE GENERALE SP ADR	22.7500	2,388.75	
09-15	Sold	30	SOCIETE GENERALE SP ADR	25.7500	772.47	
07-30	Sold	25	SONY CORP ADR 1974 NEW	93.5000	2,337.42	
03-13	Sold	35	TRAVELERS GROUP INC	55.1250	1,929.31	
07-30	Sold	20	TRAVELERS GROUP INC	70.1875	1,403.70	
11-19	Stock Dividend	22	TRAVELERS GROUP INC			
07-30	Sold	10	UNILEVER PLC AMER SHARES	117.3125	1,173.09	
10-20	Stock Dividend	45	UNILEVER PLC AMER SHARES			
03-10	Sold	20	YASUDA TR & BKG LTD ADR	25.6160	512.30	
02-21	Bought	40	ZURICH INSURANCE CO REG ADR	59.2500	2,370.00	
03-21	Bought	20	ZURICH INSURANCE CO REG ADR	61.3750	1,227.50	
09-15	Sold	25	ZURICH INSURANCE CO REG ADR	79.2500	1,981.18	

Income

Activity	Description	Amount	Income Category
Dividend	ACTIVE ASSETS MONEY TRUST	365.00	Money Market Funds
Dividend	ABN AMRO ADR	18.64	Stocks
Dividend	ALCATEL ALSTHOM SPON ADR	54.38	Stocks
Dividend	ALLIED DOMECQ PLC ADR SPON	123.16	Stocks
Dividend	AMERITECH CORP	84.75	Stocks
Dividend	ARCHER DANIELS MIDLAND	6.05	Stocks
Dividend	ASTRA AB CL B ADS	26.74	Stocks
Dividend	BANKAMERICA CORP	48.80	Stocks
Dividend	CADBURY SCHW PLC ADR 10 ORD NH	80.73	Stocks
Dividend	COMPAGNIE GENERALE DE EAUX ADR	47.84	Stocks
Dividend	DAIMLERBENZ AKTIENGESELLSCHAFT	18.82	Stocks
Dividend	DEERE & CO	43.00	Stocks
Dividend	DEUTSCHE BANK AG SP ADR	33.99	Stocks
Dividend	DU PONT EI DE NEMOURS & CO	73.30	Stocks
Dividend	ELF AQUITAINE SPON ADR	98.05	Stocks
Dividend	EMPRESA NATL DE EL SA ADR	101.63	Stocks
Dividend	ENI SPA AMER DEP RCPT	47.43	Stocks
Dividend	FIAT SPA PREF AM DEP SH	30.91	Stocks
Dividend	GEN ELEC PLC ADR	94.06	Stocks
Dividend	GENERAL ELECTRIC CO	49.40	Stocks
Dividend	GRAND MET PLC LTD SPNSR ADR	91.32	Stocks
Dividend	HEINEKEN NV ADR	8.51	Stocks
Dividend	HOECHST AG ADR NEW	42.68	Stocks
Dividend	HSBC HLDG PLC SPND ADR NEW	72.78	Stocks
Dividend	INTL BUSINESS MACHINES CORP	21.00	Stocks
Dividend	LOCKHEED MARTIN CORP	36.00	Stocks
Dividend	MANNESMANN AG SP ADR	26.53	Stocks
Dividend	MATSUSHITA EL INDL ADR	11.37	Stocks
Dividend	MITSUI MARINE&FIRE INS LTD ADR	14.71	Stocks
Dividend	MOBIL CORP DELAWARE	42.40	Stocks
Dividend	NATIONAL POWER PLC ADS	147.70	Stocks

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
ACCESS #2-LAZARD FRERES

Account Number 642 113487 AE 022

Income

Activity	Description	Amount	Income Category
Dividend	NESTLE SPON ADR REP REG SHR	62.07	Stocks
Dividend	NKK CORP ADR	14.77	Stocks
Dividend	NOVARTIS AG ADR	38.79	Stocks
Dividend	PHILIP MORRIS CO INC	145.20	Stocks
Dividend	RHONE-POULENC AMER DEPOSIT SHS	65.68	Stocks
Dividend	RICOH LTD ADR	16.82	Stocks
Dividend	ROYAL DUTCH PETE NY RG 5 GLDR	39.18	Stocks
Dividend	ROYAL DUTCH PETE NY 1.25 GU	24.59	Stocks
Dividend	SEARS ROEBUCK & CO	37.95	Stocks
Dividend	SOCIETE GENERALE SP ADR	53.18	Stocks
Dividend	SONY CORP ADR 1974 NEW	21.50	Stocks
Dividend	TRAVELERS GROUP INC	38.25	Stocks
Dividend	UNILEVER PLC AMER SHARES	55.98	Stocks
Dividend	ZURICH INSURANCE CO REG ADR	50.70	Stocks
	Sub Total Stocks	$2,261.34	
	Total Income	$2,626.34	

Withdrawal

Date	Activity	Description	Amount	Additional Information
03-13	Transfer	FUNDS TRANSFERRED	5,000.00	PER LETTER OF AUTHORIZATION TO 642-115916-0
07-21	Transfer	FUNDS TRANSFERRED	1,000.00	PER LETTER OF AUTHORIZATION TO 642-115916-0
07-30	Transfer	FUNDS TRANSFERRED	35,000.00	PER LETTER OF AUTHORIZATION TO 642-115916-0
09-08	Transfer	FUNDS TRANSFERRED	2,500.00	PER LETTER OF AUTHORIZATION TO 642-115916-0
		Total Withdrawals	$43,500.00	

Other

Date	Activity	Description	Amount	Additional Information
01-16	Journal Out	ACCESS 1Q97 FEE LZD	-847.96	
01-21	Journal Out	SAME NAME ACCOUNT	-5,000.00	642 113487 TO 642 115916
02-26	Distribution	NOVARTIS AG ADR	119.67	
04-16	Journal Out	ACCESS 2Q97 FEE LZD	-808.71	
05-29	Stock Dividend	ASTRA AB CL B ADS	5.32	CASH IN LIEU FRACTIONAL SHARE
06-06	Distribution	COMPAGNIE GENERALE DE EAUX ADR	14.30	
07-16	Journal Out	ACCESS 3Q97 FEE LZD	-918.79	
08-11	Stock Dividend	FIAT SPA PREF AM DEP SH	6.40	CASH IN LIEU FRACTIONAL SHARE
10-15	Journal Out	ACCESS 4Q97 FEE LZD	-692.08	
11-19	Stock Dividend	TRAVELERS GROUP INC	23.79	CASH IN LIEU FRACTIONAL SHARE

3193

DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

THE HONORABLE NICK JOE RAHALL II
ACCESS #3-EAGLE ASSET MGMT

Account Number AE
842 122048 022

1997 ACTIVITY DETAILS

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
11-26	Sold	900	AMPEX INC CL A	2 11/16	2,418.66	
07-31	Sold	200	BANK PLUS CORP.	11 7/8	2,374.92	
01-13	Bought	500	CLAIRES STORES	13	6,500.00	
07-31	Sold	200	CLAIRES STORES	21 3/8	4,274.85	
02-03	Bought	100	COHERENT INC	45 3/4	4,575.00	
06-06	Sold	300	COMPUTATIONAL SYSTEMS INC	14.7500	4,424.85	
07-31	Sold	200	COMPUTER PRODUCTS INC	27 3/8	5,474.81	
02-12	Bought	200	FOOTSTAR INC	23 1/2	4,700.00	
08-29	Sold	200	FOOTSTAR INC	24 13/16	4,962.33	
06-23	Sold	500	GENESCO INC	13 5/8	6,812.27	
07-31	Sold	400	GENESCO INC	13 1/4	5,299.82	
07-25	Stock Dividend	100	HOUGHTON MIFFLIN CO			
06-18	Bought	200	HUGHES SUPPLY INC	40 1/8	8,025.00	
07-17	Stock Dividend	100	HUGHES SUPPLY INC			
06-03	Bought	200	IMCO RECYCLING	16 5/8	3,325.00	
07-31	Sold	100	INTERIM SVCS INC	45 9/16	4,556.09	
09-05	Stock Dividend	100	INTERIM SVCS INC			
07-31	Sold	100	LEGG MASON INC	59 1/8	5,912.30	
09-24	Stock Dividend	33	LEGG MASON INC			
10-31	Stock Dividend	200	LNR PROPERTY CORP			
01-27	Sold	1,000	MARINE DRILLING COS INC NEW	17 1/2	17,499.41	
05-08	Sold	700	NATL EDUCATION CORP	20 1/2	14,349.52	
07-30	Sold	600	SODAK GAMING INC	10 7/8	6,524.78	
09-04	Bought	200	SYKES ENTERPRISES INC	27.6250	5,525.00	ICS
05-30	Bought	400	SYMMETRICOM INC	16.2500	6,500.00	
02-05	Sold	300	VERITAS DGC INC	19	5,699.81	

Income

Activity	Description	Amount	Income Category
Dividend	ACTIVE ASSETS MONEY TRUST	232.17	Money Market Funds
Dividend	CASH AMER INTERNATIONAL INC	20.00	Stocks
Dividend	CLAIRES STORES	48.00	Stocks
Dividend	HOUGHTON MIFFLIN CO	98.00	Stocks
Dividend	HUGHES SUPPLY INC	46.50	Stocks
Dividend	IMCO RECYCLING	70.00	Stocks
Dividend	LEGG MASON INC	92.63	Stocks
Dividend	LENNAR CORPORATION	17.50	Stocks
Dividend	LNR PROPERTY CORP	2.50	Stocks
	Sub Total Stocks	$395.13	
	Total Income	$627.30	

Consolidated Statement

Through The Courtesy Of

Securities Account D H BLAIR & CO INC

1997

NICK JOE RAMALL Jan 1 - Dec 31, 1997 Account Number: 0XT-516316-FC

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ctivity

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
CONVERSION TECHNOLOGIES INTERNATIONAL INC	2,400	01/09/1997	01/14/1997	6,603.00		BOUGHT	
HEURISTIC DEVELOPMENT GROUP INC UNITS 1 COM 1 CLA WTS 1 CLB WTS EXP 02/10/2002 TDE02/28	1,000	03/13/1997	03/13/1997	6,303.00		BOUGHT	
HEURISTIC DEVELOPMENT GROUP INC UNITS 1 COM 1 CLA WTS 1 CLB WTS EXP 02/10/2002	800	03/18/1997	03/21/1997	5,044.50		BOUGHT	
HEURISTIC DEVELOPMENT GROUP INC UNITS 1 COM 1 CLA WTS 1 CLB WTS EXP 02/10/2002	1,000	03/10/1997	03/13/1997		5,496.81	SOLD	
VIDEO UPDATE INC CLASS A	2,500	01/09/1997	01/14/1997	11,096.75		BOUGHT	

1997 SALE AND OTHER PROCEEDS FROM YOUR BROKERAGE TRANSACTIONS 1099-B

(BOX 1A) TRADE DATE	(BOX 1B) CUSIP NUMBER	QUANTITY	(------ BOX 5 ------) SYMBOL		DESCRIPTION	(BOX 2) AMOUNT
04/23/97	699376117	300	PVATW	SLD	WTS: PARAVANT COMPUTER SYSTEMS	402.48
04/23/97	580135101	100	MCD	SLD	MCDONALDS CORPORATION	5,089.82
TOTAL GROSS PROCEEDS LESS COMMISSIONS - EACH TRANSACTION FURNISHED TO THE IRS						5,492.30

FEDERAL INCOME TAX WITHHELD 4 NONE

*** END OF STATEMENT ***

Attachment 25 - p.1

1997 CONSOLIDATED TAX INFORMATION STATEMENT

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR REBECCA A RAHALL UNDER THE WV GIFTS TO MINORS ACT	REP ACCOUNT 8K08 6540-0700 TAXPAYER ID: 232-06-2218	PAGE 2 OF 5

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

ISSUE DATE:02/11/98

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
AT&T CORP CUSIP: 001957109	07/31/97	SALE	100.00	36.9375	$3,626.52
ALBERTSONS INC CUSIP: 013104104	06/05/97	SALE	200.00	36.1250	$7,124.72
APPLEBEES INTL INC CUSIP: 037899101	12/22/97	SALE	300.00	23.7500	$7,004.02
BIOGEN INC CUSIP: 090597105	04/22/97	SALE	100.00	32.6250	$3,195.73
COLUMBIA/HCA HLTH CARE CUSIP: 197677107	07/23/97	SALE	100.00	36.1250	$3,541.81
COLUMBIA/HCA HLTH CARE CUSIP: 197677107	11/10/97	SALE	200.00	30.1875	$5,926.54
DISNEY WALT COMPANY CUSIP: 254687106	09/19/97	SALE	100.00	79.6250	$7,881.23
DU PNT EI DE NEMOURS &CO CUSIP: 263534109	12/05/97	SALE	100.00	63.5000	$6,278.78
EMACARE HOLDING CUSIP: 290820109	01/09/97	SALE	300.00	23.8750	$7,034.43
FIRST DATA CORP CUSIP: 319963104	12/30/97	SALE	200.00	28.0000	$5,513.78
IDX SYSTEMS CORP CUSIP: 449491109	04/22/97	SALE	200.00	26.0000	$5,104.47
IXC COMMUNICATIONS INC CUSIP: 450713102	04/25/97	SALE	200.00	19.0000	$3,743.87
INTERPUBLIC GROUP CO IN CUSIP: 460690100	08/07/97	SALE	100.00	47.1250	$4,626.34
INTERPUBLIC GROUP CO IN CUSIP: 460690100	10/29/97	SALE	100.00	47.6250	$4,676.34
INTERPUBLIC GROUP CO IN CUSIP: 460690100	12/17/97	SALE	100.00	48.0000	$4,728.84
KIMBERLY-CLARK CORP CUSIP: 494368103	09/16/97	SALE	100.00	47.6875	$4,687.59
NEWS CORP LTD ADR NEW CUSIP: 652487703	06/25/97	SALE	300.00	19.3750	$5,697.50
OUTBACK STEAKHOUSE INC CUSIP: 689899102	12/04/97	SALE	100.00	30.8125	$3,016.49
PAPA JOHNS INTL INC CUSIP: 698813102	08/28/97	SALE	100.00	34.7500	$3,397.44
PAPA JOHNS INTL INC CUSIP: 698813102	11/17/97	SALE	100.00	31.2500	$3,063.70
PEPSICO INCORPORATED CUSIP: 713448108	04/29/97	SALE	200.00	34.5000	$6,779.73
PHILIP MORRIS COMPANIES CUSIP: 718154107	12/03/97	SALE	100.00	45.4375	$4,462.65
PHYCOR INC CUSIP: 71940F100	09/08/97	SALE	200.00	31.4375	$6,159.52
PHYCOR INC CUSIP: 71940F100	10/21/97	SALE	200.00	30.6875	$6,025.46
PHYCOR INC CUSIP: 71940F100	12/09/97	SALE	200.00	26.3750	$5,172.28
PROCTER & GAMBLE CO CUSIP: 742718109	09/16/97	SALE	50.00	139.7500	$6,906.26
RJR NABISCO HOLDINGS CUSIP: 74960K876	04/16/97	SALE	200.00	32.0000	$6,292.37
SEAGRAM LTD CUSIP: 811850106	10/21/97	SALE	200.00	36.2500	$7,133.79

<<<< CONTINUED ON THE NEXT PAGE >>>>

Attachment 26 - p.1

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR	REP ACCOUNT	PAGE
REBECCA A RAHALL UNDER THE	BK08 6540-0700	3 OF 5
WV GIFTS TO MINORS ACT	TAXPAYER ID: 232-06-2218	

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

ISSUE DATE:02/11/98

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

DESCRIPTION		DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
<<<< CONTINUED FROM PREVIOUS PAGE >>>>						
TCI SATELLITE CL A CUSIP: 872298104		02/19/97	SALE	30.00	8.0000	$233.99
TELE COMMNICTN INC CL A CUSIP: 87924V101		02/19/97	SALE	300.00	14.0000	$4,133.90
USCS INTERNATIONAL INC CUSIP: 90330X109		01/23/97	SALE	300.00	19.2500	$5,654.38
UNILEVER PLC AM SHS CUSIP: 904767605	F	10/02/97	SALE	50.00	123.9375	$6,105.67
UNILEVER NV 20FL NY CUSIP: 904784501	F	11/07/97	SALE	100.00	55.9375	$5,512.56
VITALCOM INC CUSIP: 927917104		11/10/97	SALE	500.00	4.7500	$2,318.92
WV HSG 0.00%15 CUSIP: 956630BS5		04/02/97	REDEMPTION	5,000.00		$747.60
YORK INTL CORP NEW CUSIP: 986670107		04/07/97	SALE	100.00	42.1250	$4,130.35
TOTAL PROCEEDS						$177,639.57

IRS BOX	1099-B -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-B, OMB NO. 1545-0715	
2.	GROSS PROCEEDS LESS COMMISSIONS ON STOCK, BONDS, ETC	$177,639.57
4.	FEDERAL INCOME TAX WITHHELD	$0.00

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR REBECCA A RAHALL UNDER THE WV GIFTS TO MINORS ACT	REP ACCOUNT BK08 6540-0700 TAXPAYER ID: 232-06-2218	PAGE 4 OF 5

THE FOLLOWING IS BEING PROVIDED FOR YOUR INFORMATION ONLY AND WILL NOT BE FURNISHED TO THE INTERNAL REVENUE SERVICE.

ISSUE DATE:02/11/98

THIS SECTION LISTS MISCELLANEOUS INFORMATION WHICH CAN BE HELPFUL IN THE PREPARATION OF YOUR TAX RETURN. IT LISTS NON FEDERALLY REPORTABLE INCOME WHICH MAY OR MAY NOT BE TAXABLE AT THE STATE OR LOCAL LEVEL. PLEASE REVIEW THIS INFORMATION WITH YOUR TAX ADVISOR.

DESCRIPTION	ACTIVITY	AMOUNT	REF #
WV HSG 0.00%15	OID LONG TERM	$19.92	2

REF # -- TOTALS FOR TAX YEAR 1997
MISCELLANEOUS INFORMATION TOTALS

1. MARGIN DEBIT INTEREST	$0.00DR
2. FEDERALLY TAX EXEMPT MUNICIPAL BONDS	$19.92
3. FEDERALLY TAX EXEMPT DIVIDENDS	$0.00
4. RETURN OF CAPITAL OR PRINCIPAL PAYMENTS	$0.00
5. INCOME SUBJECT TO ALTERNATIVE MINIMUM TAX	$0.00
6. FEDERALLY TAX EXEMPT INTEREST	$0.00
7. FEDERALLY TAX EXEMPT ACCRUED INTEREST	$0.00
8. MASTER LIMITED PARTNERSHIP DISTRIBUTIONS	$0.00
9. ACCRUED INTEREST ON PURCHASES	$0.00DR

THIS SECTION CONTAINS PURCHASE ACTIVITY IN YOUR ACCOUNT.
IT IS PROVIDED FOR YOUR INFORMATION ONLY.

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
AT&T CORP CUSIP: 001957109	07/21/97	PURCHASE	100.00	34.3750	$3,518.64
ALBERTSONS INC CUSIP: 013104104	03/04/97	PURCHASE	200.00	34.6250	$7,068.16
APPLEBEES INTL INC CUSIP: 037899101	10/24/97	PURCHASE	200.00	22.7500	$4,663.41
APPLEBEES INTL INC CUSIP: 037899101	11/12/97	PURCHASE	100.00	21.2500	$2,188.17
APPLEBEES INTL INC CUSIP: 037899101	12/23/97	PURCHASE	300.00	18.7500	$5,773.38
BIOGEN INC CUSIP: 090597105	04/11/97	PURCHASE	100.00	32.7500	$3,353.96
COLUMBIA/HCA HLTH CARE CUSIP: 197677107	07/17/97	PURCHASE	100.00	32.8750	$3,368.25
COLUMBIA/HCA HLTH CARE CUSIP: 197677107	09/12/97	PURCHASE	200.00	28.6250	$5,858.06
DISNEY WALT COMPANY CUSIP: 254687106	09/12/97	PURCHASE	100.00	76.2500	$7,716.00
DU PNT EI DE NEMOURS &CO CUSIP: 263534109	08/28/97	PURCHASE	100.00	62.9375	$6,389.75
FIRST DATA CORP CUSIP: 319963104	10/27/97	PURCHASE	100.00	28.8125	$2,962.46
FIRST DATA CORP CUSIP: 319963104	10/30/97	PURCHASE	100.00	27.9375	$2,869.24
IDX SYSTEMS CORP CUSIP: 449491109	03/13/97	PURCHASE	200.00	30.5000	$6,235.32
IXC COMMUNICATIONS INC CUSIP: 450713102	03/17/97	PURCHASE	200.00	21.0000	$4,317.54
INTEGRATED HEALTH SVCS CUSIP: 45812C106	11/04/97	PURCHASE	100.00	32.5000	$3,330.24
INTEGRATED HEALTH SVCS CUSIP: 45812C106	11/07/97	PURCHASE	100.00	32.3750	$3,317.57

<<<< CONTINUED ON THE NEXT PAGE >>>>

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR REBECCA A RAHALL UNDER THE WV GIFTS TO MINORS ACT	REP ACCOUNT BK08 6540-0700 TAXPAYER ID: 232-06-2218	PAGE 5 OF 5

THE FOLLOWING IS BEING PROVIDED FOR YOUR INFORMATION ONLY AND WILL NOT BE FURNISHED TO THE INTERNAL REVENUE SERVICE.

ISSUE DATE:02/11/98

THIS SECTION CONTAINS PURCHASE ACTIVITY IN YOUR ACCOUNT.
IT IS PROVIDED FOR YOUR INFORMATION ONLY.

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
<<<< CONTINUED FROM PREVIOUS PAGE >>>>					
INTERPUBLIC GROUP CO IN CUSIP: 460690100	07/17/97	PURCHASE	100.00	42.3750	$4,329.33
INTERPUBLIC GROUP CO IN CUSIP: 460690100	10/28/97	PURCHASE	100.00	44.5000	$4,544.67
INTERPUBLIC GROUP CO IN CUSIP: 460690100	11/12/97	PURCHASE	100.00	45.7500	$4,666.00
KIMBERLY-CLARK CORP CUSIP: 494368103	09/12/97	PURCHASE	100.00	43.8750	$4,483.30
MFS RESEARCH G & I CL B CUSIP: 552983827	07/15/97	PURCHASE	349.16	14.3200	$5,000.00
MORGAN STANLEY VALUE FD CUSIP: 61744K439	07/15/97	PURCHASE	501.50	9.9700	$5,000.00
NEWS CORP LTD ADR NEW CUSIP: 652487703	04/25/97	PURCHASE	300.00	18.3750	$5,645.19
OUTBACK STEAKHOUSE INC CUSIP: 689899102	10/15/97	PURCHASE	100.00	28.5625	$2,929.62
PAPA JOHNS INTL INC CUSIP: 698813102	08/14/97	PURCHASE	100.00	31.2500	$3,203.54
PAPA JOHNS INTL INC CUSIP: 698813102	10/31/97	PURCHASE	100.00	29.5000	$3,024.62
PEPSICO INCORPORATED CUSIP: 713448108	03/13/97	PURCHASE	200.00	31.5000	$6,427.92
PHILIP MORRIS COMPANIES CUSIP: 718154107	09/12/97	PURCHASE	100.00	42.1875	$4,314.13
PHYCOR INC CUSIP: 71940F100	08/19/97	PURCHASE	100.00	28.7500	$2,949.37
PHYCOR INC CUSIP: 71940F100	08/26/97	PURCHASE	100.00	28.6250	$2,943.43
PHYCOR INC CUSIP: 71940F100	10/17/97	PURCHASE	200.00	28.5625	$5,845.40
PHYCOR INC CUSIP: 71940F100	10/30/97	PURCHASE	200.00	24.5625	$5,033.31
PROCTER & GAMBLE CO CUSIP: 742718109	09/12/97	PURCHASE	50.00	131.1875	$6,640.38
RJR NABISCO HOLDINGS CUSIP: 74960K876	04/11/97	PURCHASE	200.00	30.5000	$6,232.51
SEAGRAM LTD CUSIP: 811850106	09/12/97	PURCHASE	200.00	34.2500	$7,007.33
UNILEVER PLC AM SHS F CUSIP: 904767605	09/12/97	PURCHASE	50.00	112.4375	$5,702.88
UNILEVER NV ZOFL NY F CUSIP: 904784501	10/24/97	PURCHASE	100.00	53.1875	$5,409.75
VENCOR INC CUSIP: 922602107	10/24/97	PURCHASE	100.00	29.5000	$3,027.67
VENCOR INC CUSIP: 922602107	10/30/97	PURCHASE	100.00	27.6250	$2,838.28
VENCOR INC CUSIP: 922602107	12/18/97	PURCHASE	100.00	25.7500	$2,637.53
YORK INTL CORP NEW CUSIP: 986670107	02/19/97	PURCHASE	100.00	44.6250	$4,561.29

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR NICK JOE RAHALL III UNDER THE WV GIFTS TO MINORS ACT	REP ACCOUNT BK08 6540-0350 TAXPAYER ID: 233-17-4890	PAGE 2 OF 3

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

ISSUE DATE:02/11/98

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
C-CUBE MICROSYSTEMS INC CUSIP: 125015107	02/20/97	SALE	200.00	26.7500	$5,246.47
FIRST DATA CORP CUSIP: 319963104	12/30/97	SALE	300.00	28.6875	$8,470.32
OAK RDGE IN IDA 0.00%25 CUSIP: 67180EAY6	12/11/97	SALE	35,000.00	30.8700	$10,798.50
PHYCOR INC CUSIP: 71940F100	09/08/97	SALE	200.00	31.3750	$6,154.33
PHYCOR INC CUSIP: 71940F100	11/14/97	SALE	300.00	25.0625	$7,427.71
RADISYS CORP CUSIP: 750459109	04/07/97	SALE	100.00	33.1250	$3,241.08
SEACHANGE INTL INC CUSIP: 811699107	10/13/97	SALE	100.00	12.0000	$1,143.96
SEACHANGE INTL INC CUSIP: 811699107	12/11/97	SALE	200.00	7.5625	$1,456.44
STERIGENICS CUSIP: 85915R105	10/31/97	SALE	100.00	21.3750	$2,078.38
3COM CORP CUSIP: 885535104	04/22/97	SALE	100.00	24.7500	$2,418.91
WV HSG 0.00%15 CUSIP: 956630BS5	01/02/97	REDEMPTION	5,000.00		$727.60
TOTAL PROCEEDS					$49,163.70

IRS BOX 1099-B -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-B, OMB NO. 1545-0715	
2. GROSS PROCEEDS LESS COMMISSIONS ON STOCK, BONDS, ETC	$49,163.70
4. FEDERAL INCOME TAX WITHHELD	$0.00

Attachment 27 - p.1

DEPARTMENT OF THE TREASURY - INTERNAL REVENUE SERVICE COPY B FOR RECIPIENT 3037392

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR	REP ACCOUNT	PAGE
NICK JOE RAHALL III UNDER THE	BX08 6540-0350	3 OF 3
WV GIFTS TO MINORS ACT	TAXPAYER ID: 233-17-4890	

THE FOLLOWING IS BEING PROVIDED FOR YOUR INFORMATION ONLY AND WILL NOT BE FURNISHED TO THE INTERNAL REVENUE SERVICE.

ISSUE DATE:02/11/98

THIS SECTION LISTS MISCELLANEOUS INFORMATION WHICH CAN BE HELPFUL IN THE PREPARATION OF YOUR TAX RETURN. IT LISTS NON FEDERALLY REPORTABLE INCOME WHICH MAY OR MAY NOT BE TAXABLE AT THE STATE OR LOCAL LEVEL. PLEASE REVIEW THIS INFORMATION WITH YOUR TAX ADVISOR.

DESCRIPTION	ACTIVITY	AMOUNT	REF #
OAK RDGE TN IDA 0.00%25	OID LONG TERM	$213.68	2

REF # -- TOTALS FOR TAX YEAR 1997
MISCELLANEOUS INFORMATION TOTALS

1. MARGIN DEBIT INTEREST	$0.00DR
2. FEDERALLY TAX EXEMPT MUNICIPAL BONDS	$213.68
3. FEDERALLY TAX EXEMPT DIVIDENDS	$0.00
4. RETURN OF CAPITAL OR PRINCIPAL PAYMENTS	$0.00
5. INCOME SUBJECT TO ALTERNATIVE MINIMUM TAX	$0.00
6. FEDERALLY TAX EXEMPT INTEREST	$0.00
7. FEDERALLY TAX EXEMPT ACCRUED INTEREST	$0.00
8. MASTER LIMITED PARTNERSHIP DISTRIBUTIONS	$0.00
9. ACCRUED INTEREST ON PURCHASES	$0.00DR

THIS SECTION CONTAINS PURCHASE ACTIVITY IN YOUR ACCOUNT.
IT IS PROVIDED FOR YOUR INFORMATION ONLY.

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
C-CUBE MICROSYSTEMS INC CUSIP: 125015107	02/19/97	PURCHASE	200.00	24.6250	$5,041.08
FIRST DATA CORP CUSIP: 319963104	11/05/97	PURCHASE	200.00	28.8750	$5,908.74
FIRST DATA CORP CUSIP: 319963104	11/07/97	PURCHASE	100.00	27.7500	$2,849.49
PHYCOR INC CUSIP: 71940F100	08/21/97	PURCHASE	200.00	28.8750	$5,916.89
PHYCOR INC CUSIP: 71940F100	10/31/97	PURCHASE	100.00	23.8750	$2,451.65
PHYCOR INC CUSIP: 71940F100	10/31/97	PURCHASE	100.00	22.8750	$2,343.21
PHYCOR INC CUSIP: 71940F100	11/07/97	PURCHASE	100.00	24.5000	$2,517.84
RADISYS CORP CUSIP: 750459109	02/28/97	PURCHASE	100.00	33.0000	$3,380.93
SEACHANGE INTL INC CUSIP: 811699107	07/01/97	PURCHASE	100.00	25.6250	$2,635.46
SEACHANGE INTL INC CUSIP: 811699107	07/22/97	PURCHASE	100.00	27.5000	$2,821.94
SEACHANGE INTL INC CUSIP: 811699107	07/30/97	PURCHASE	100.00	19.6250	$2,027.35
STERIGENICS CUSIP: 85915R105	10/15/97	PURCHASE	100.00	21.6250	$2,225.11
3COM CORP CUSIP: 885535104	02/27/97	PURCHASE	100.00	37.0000	$3,784.65

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SMITH BARNEY

A Member of Travelers Group

Ref: 00004012 00031006

Select Client Statement Forms 1099 for 1997

N JOE RAHALL II ACF
Account Number 685-00725-10 025 SS # 233-17-4890

Payer

SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
Tax ID Number 13-1912900

Your Financial Consultant

PETER T. JOSEPH
SMITH BARNEY INC
701 MAIN STREET
SUITE 100
STROUDSBURG PA 18360
Branch Office : 717-421-3100

N JOE RAHALL II ACF
NICK JOE RAHALL III UGTMA/WVA
2269 RAYBURN BUILDING
WASHINGTON DC
20515-0534

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 1997

(OMB#1545-0715)

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Trade date (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120000400	01/01/97	956630BS50R0	5,000	WEST VIRGINIA HSG DEV FD SFMR 0-CPN-TERM APPREC YTM 11.0%-RG SER B-TICOR-DTD 9/28/83-CBLE DUE 01/01/2015		$ 727.60	
120000500	04/01/97	956630BS50R0	5,000	WEST VIRGINIA HSG DEV FD SFMR 0-CPN-TERM APPREC YTM 11.0%-RG SER B-TICOR-DTD 9/28/83-PREF DUE 01/01/2015		747.60	
Totals						$ 1,475.20	

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR	REP ACCOUNT	PAGE
SUZANNE NICOLE RAHALL UNDER	BK08 6540-1050	3 OF 7
THE WV GIFTS TO MINORS ACT	TAXPAYER ID: 233-25-9977	

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT WAS NOT BEEN REPORTED.
CORRECTION: 03/06/98

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
AT&T CORP CUSIP: 001957109	04/24/97	SALE	100.00	30.8750	$3,014.85
ALBERTSONS INC CUSIP: 013104104	06/06/97	SALE	100.00	36.3750	$3,581.37
BIOGEN INC CUSIP: 090597105	04/23/97	SALE	100.00	30.0000	$2,940.01
COLUMBIA/HCA HLTH CARE CUSIP: 197677107	04/16/97	SALE	100.00	33.8750	$3,331.38
DISTRICT COLUMBIA A 0%02 CUSIP: 254760QU8	12/17/97	SALE	10,000.00	76.0000	$7,594.00
FIRST DATA CORP CUSIP: 319963104	12/30/97	SALE	150.00	28.1875	$4,147.59
FT PHARMA GR & VALUE 1 Q CUSIP: 33734T886	01/15/97	SALE	500.00	20.1019	$10,050.95
FT TELEPH GR & VALUE 1 Q CUSIP: 33734W277	01/15/97	SALE	500.00	11.5918	$5,795.90
FT TR FOOD & BEV GRTH 1 CUSIP: 33734W434	01/15/97	SALE	500.00	13.6260	$6,813.00
HEALTHSOUTH CORP CUSIP: 421924101	09/12/97	SALE	150.00	25.5000	$3,767.37
IDX SYSTEMS CORP CUSIP: 449491109	03/24/97	SALE	100.00	28.7500	$2,808.79
LANDRYS SEAFOOD REST INC CUSIP: 51508L103	03/24/97	SALE	200.00	15.8750	$3,091.84
LASALLE NATL 0% 01/12/07 CUSIP: 518027 3P0	12/17/97	SALE	10,000.00	52.5000	$5,244.00
LONE STAR STEAKHOUSE CUSIP: 542307103	09/18/97	SALE	200.00	20.3750	$3,981.10
MFS RESEARCH FD CL B CUSIP: 552981201	06/26/97	SALE	251.32	20.4500	$5,000.00
MSC K3 8.425%09/20/18 CUSIP: 617909AD8	12/20/97	PRINCIPAL	3,000.00		$523.15
MST CMO SER 15 M 3/20/24 CUSIP: 618901375	11/20/97	PRINCIPAL	5,000.00		$42.05
NEWS CORP LTD ADR NEW CUSIP: 652487703	05/27/97	SALE	200.00	17.3750	$3,393.30
NEWS CORP LTD ADR NEW CUSIP: 652487703	09/19/97	SALE	200.00	19.0000	$3,741.07
PEPSICO INCORPORATED CUSIP: 713448108	05/05/97	SALE	100.00	35.7500	$3,491.90
PERKINS FAMILY RESTR L P CUSIP: 714063104	01/15/97	SALE	200.00	13.0000	$2,524.89
PHYCOR INC CUSIP: 71940F100	09/09/97	SALE	100.00	32.3750	$3,162.95
PHYCOR INC CUSIP: 71940F100	10/21/97	SALE	100.00	30.6250	$3,006.39
PHYCOR INC CUSIP: 71940F100	12/17/97	SALE	150.00	26.6875	$3,918.84
SEAGRAM LTD CUSIP: 811850106	10/21/97	SALE	100.00	36.1250	$3,554.72
SPEEDWAY MOTORSPORTS INC CUSIP: 847788106	01/08/97	SALE	100.00	21.6250	$2,107.30
SPEEDWAY MOTORSPORTS INC CUSIP: 847788106	12/26/97	SALE	150.00	24.0625	$3,529.57
USCS INTERNATIONAL INC CUSIP: 90330X109	01/21/97	SALE	100.00	18.8750	$1,836.76

<<<< CONTINUED ON THE NEXT PAGE >>>>

Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR SUZANNE NICOLE RAHALL UNDER THE WV GIFTS TO MINORS ACT	REP ACCOUNT 8K08 6540-1050 TAXPAYER ID: 233-25-9977	PAGE 4 OF 7

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.
CORRECTION: 03/06/98

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
<<<< CONTINUED FROM PREVIOUS PAGE >>>>					
VKM BRAND NAME TRUST 1 Q CUSIP: 92112X133	04/24/97	SALE	500.00	17.3400	$8,670.00
VKM BRAND NAME TRUST 1 Q CUSIP: 92112X133	01/02/97	PRINCIPAL			$370.71
VERIFONE INC CUSIP: 923429104	04/23/97	SALE	100.00	47.7500	$4,683.84
YORK INTL CORP NEW CUSIP: 986670107	04/02/97	SALE	100.00	41.0000	$4,023.87
TOTAL PROCEEDS					$123,743.46

IRS BOX 1099-B -- TOTALS FOR TAX YEAR 1997 SUBSTITUTE FOR IRS FORM 1099-B, OMB NO. 1545-0715	
2. GROSS PROCEEDS LESS COMMISSIONS ON STOCK, BONDS, ETC	$123,743.46
4. FEDERAL INCOME TAX WITHHELD	$0.00

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR SUZANNE NICOLE RAHALL UNDER THE WV GIFTS TO MINORS ACT	REP ACCOUNT 8K08 6540-1050 TAXPAYER ID: 233-25-9977	PAGE 5 OF 7

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CORRECTION: 03/06/98

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DESCRIPTION	ACTIVITY	AMOUNT	REF #
DISTRICT COLUMBIA A 0%02	OID LONG TERM	$487.91	2
PERKINS FAMILY RESTR L P	PARTNERSHIP DIST	$65.00	8
GE94 29A4 8.125%11/25/24	PURCH INT-TAX	$6.32DR	9

REF #	-- TOTALS FOR TAX YEAR 1997 MISCELLANEOUS INFORMATION TOTALS	
1.	MARGIN DEBIT INTEREST	$0.00DR
2.	FEDERALLY TAX EXEMPT MUNICIPAL BONDS	$487.91
3.	FEDERALLY TAX EXEMPT DIVIDENDS	$0.00
4.	RETURN OF CAPITAL OR PRINCIPAL PAYMENTS	$0.00
5.	INCOME SUBJECT TO ALTERNATIVE MINIMUM TAX	$0.00
6.	FEDERALLY TAX EXEMPT INTEREST	$0.00
7.	FEDERALLY TAX EXEMPT ACCRUED INTEREST	$0.00
8.	MASTER LIMITED PARTNERSHIP DISTRIBUTIONS	$65.00
9.	ACCRUED INTEREST ON PURCHASES	$6.32DR

THIS SECTION CONTAINS PURCHASE ACTIVITY IN YOUR ACCOUNT.
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DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
AT&T CORP CUSIP: 001957109	04/08/97	PURCHASE	100.00	34.2500	$3,509.30
ALBERTSONS INC CUSIP: 013104104	03/04/97	PURCHASE	100.00	34.7500	$3,556.64
APPLEBEES INTL INC CUSIP: 037899101	10/13/97	PURCHASE	200.00	22.3750	$4,587.38
BIOGEN INC CUSIP: 090597105	03/27/97	PURCHASE	100.00	38.5000	$3,927.68
COLUMBIA/HCA HLTH CARE CUSIP: 197677107	01/20/97	PURCHASE	100.00	38.3750	$3,926.24
FIRST DATA CORP CUSIP: 319963104	10/27/97	PURCHASE	100.00	28.8750	$2,961.28
FIRST DATA CORP CUSIP: 319963104	10/31/97	PURCHASE	50.00	27.9375	$1,452.88
GE94 29A4 8.125%11/25/24 CUSIP: 36157TGH8	05/05/97	PURCHASE	4,000.00	100.2500	$4,016.00
HEALTHSOUTH CORP CUSIP: 421924101	08/15/97	PURCHASE	150.00	24.2500	$3,746.01
IDX SYSTEMS CORP CUSIP: 449491109	03/03/97	PURCHASE	100.00	31.1250	$3,193.22
LANDRYS SEAFOOD REST INC CUSIP: 51508L103	02/14/97	PURCHASE	200.00	16.8750	$3,475.33
LASALLE NATL 0% 01/12/07 CUSIP: 5180273P0	04/08/97	PURCHASE	10,000.00	47.8360	$4,788.10
LONE STAR STEAKHOUSE CUSIP: 542307103	08/05/97	PURCHASE	200.00	17.7500	$3,650.76
MFS RESEARCH FD CL B CUSIP: 552981201	01/02/97	PURCHASE	55.55	18.0000	$1,000.00

<<<< CONTINUED ON THE NEXT PAGE >>>>

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Wheat First Securities, Inc. 1997

WHEAT FIRST SECURITIES, INC.
10700 NORTH PARK DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 54-0796506

NICK JOE RAHALL II AS CUST FOR	REP ACCOUNT	PAGE
SUZANNE NICOLE RAHALL UNDER	BK08 6540-1050	6 OF 7
THE WV GIFTS TO MINORS ACT	TAXPAYER ID: 233-25-9977	

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CORRECTION: 03/06/98

THIS SECTION CONTAINS PURCHASE ACTIVITY IN YOUR ACCOUNT.
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DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
<<<< CONTINUED FROM PREVIOUS PAGE >>>>					
MFS RESEARCH FD CL B CUSIP: 552981201	03/04/97	PURCHASE	53.36	18.7400	$1,000.00
MFS RESEARCH FD CL B CUSIP: 552981201	04/25/97	PURCHASE	227.53	17.5800	$4,000.00
MORGAN STANLEY VALUE FD CUSIP: 61744K439	07/14/97	PURCHASE	501.00	9.9800	$5,000.00
NEWS CORP LTD ADR NEW CUSIP: 652487703	05/22/97	PURCHASE	200.00	17.8750	$3,675.08
NEWS CORP LTD ADR NEW CUSIP: 652487703	08/19/97	PURCHASE	200.00	17.5000	$3,591.97
PEPSICO INCORPORATED CUSIP: 713448108	02/14/97	PURCHASE	100.00	32.2500	$3,303.30
PHYCOR INC CUSIP: 71940F100	08/27/97	PURCHASE	100.00	28.8750	$2,962.04
PHYCOR INC CUSIP: 71940F100	10/17/97	PURCHASE	100.00	28.5625	$2,930.37
PHYCOR INC CUSIP: 71940F100	10/30/97	PURCHASE	100.00	24.8750	$2,557.40
PHYCOR INC CUSIP: 71940F100	10/31/97	PURCHASE	50.00	23.9375	$1,252.88
SEAGRAM LTD CUSIP: 811850106	09/11/97	PURCHASE	100.00	34.1250	$3,494.97
SPEEDWAY MOTORSPORTS INC CUSIP: 847788106	01/07/97	PURCHASE	100.00	18.8750	$1,944.51
SPEEDWAY MOTORSPORTS INC CUSIP: 847788106	11/12/97	PURCHASE	150.00	22.4375	$3,458.36
USCS INTERNATIONAL INC CUSIP: 90330X109	01/02/97	PURCHASE	100.00	17.3750	$1,791.78
VKAC COMSTOCK FD CL B CUSIP: 92112D202	04/25/97	PURCHASE	354.86	14.0900	$5,000.00
VENCOR INC CUSIP: 922602107	10/27/97	PURCHASE	100.00	29.5625	$3,031.00
VENCOR INC CUSIP: 922602107	10/31/97	PURCHASE	50.00	27.1250	$1,412.25
VENCOR INC CUSIP: 922602107	12/18/97	PURCHASE	50.00	25.7500	$1,318.50
VERIFONE INC CUSIP: 923429104	03/04/97	PURCHASE	100.00	34.6250	$3,543.97
YORK INTL CORP NEW CUSIP: 986670107	02/19/97	PURCHASE	100.00	44.7500	$4,570.01

COLLATERALIZED DEBT OBLIGATIONS.
REAL ESTATE MORTGAGE INVESTMENT CONDUITS (REMICS) & COLL. MORTGAGE OBLIG (CMO).

DESCRIPTION	TYPE
FNMA 91 6ZD 9.01/25/21	REMIC
FNMA 92 11E 8 12/25/21	REMIC
MSC K3 8.425%09/20/18	REMIC
GE94 29A4 8.125%11/25/24	REMIC
FNMA 92 11E 8 12/25/21	REMIC
GE94 29A4 8.125%11/25/24	REMIC
MSC K3 8.425%09/20/18	REMIC

<<<< CONTINUED ON THE NEXT PAGE >>>>

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING DECEMBER 31, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number 642 115917 AE 145

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
DEAN WITTER LIQUID ASSET FUND	6,094.89	15.1%	318
Total Cash and Money Market Funds	**$6,094.89**	**15.1%**	**$318**

Annualized 30 Day Yields	
Dean Witter Liquid Asset Fund	5.22%
Dean Witter US Govt Money Mkt	4.83%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
100	BOEING CO	48 15/16	4,893.75	12.2%	56	1.14%	BA	Next Dividend Payable 03/98
100	DIAMOND OFFSHORE DRILLING INC	48 1/8	4,812.50	12.0%	28	.58%	DO	Next Dividend Payable 03/98
200	GREEN TREE FINANCIAL CORP	26 3/16	5,237.50	13.1%	70	1.33%	GNT	Next Dividend Payable 03/98
150	HOUSEHOLD INTL INC	127 5/8	19,143.75	47.6%	252	1.31%	HI	Next Dividend Payable 01/15/98
Total Stocks			**$34,087.50**	**84.9%**	**$406**	**1.19%**		

Asset Summary	Value	Est Yrly Income
Total Asset Value	**40,182.39**	**$724**

ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	12-10	Sold	150	SUNAMERICA INC	44 1/2	6,532.32	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
	12-19	Bought	100	DIAMOND OFFSHORE DRILLING INC	45 9/16	4,644.87	PREFERENTIAL RATE
	12-19	Bought	100	BOEING CO	50 1/8	5,101.52	PREFERENTIAL RATE
	12-19	Bought	200	GREEN TREE FINANCIAL CORP	22 3/16	4,537.03	PREFERENTIAL RATE

Income	Date	Activity	Description	Amount	Income Category
	12-05	Dividend	SUNAMERICA INC	15.00	Stocks

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING NOVEMBER 30, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number 842 115917 AE 145

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
DEAN WITTER LIQUID ASSET FUND	13,774.01	35.5%	710
Total Cash and Money Market Funds	$13,774.01	35.5%	$710

Annualized 30 Day Yields

Dean Witter Liquid Asset Fund.....5.16%
Dean Witter US Govt Money Mkt.....4.81%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
150	HOUSEHOLD INTL INC	126	18,900.00	48.8%	252	1.33%	HI	Next Dividend Payable 01/98
150	SUNAMERICA INC	40 1/2	6,075.00	15.7%	60	.98%	SAI	Next Dividend Payable 12/05/97
Total Stocks			$24,975.00	64.5%	$312	1.24%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	38,749.01	$1,022

ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	11-18	Sold	100	AMERICAN ITALIAN PASTA CO A	21	2,022.58	
	11-18	Sold	100	U.S.A. FLORAL PRODUCTS INC	17 5/8	1,698.81	

Income	Date	Activity	Description	Amount	Income Category
	11-28	Dividend	DEAN WITTER LIQUID ASSET FUND	44.25	Money Market Funds
			Total Income	$44.25	

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING OCTOBER 31, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number 642 115917 AE 145

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
DEAN WITTER LIQUID ASSET FUND	10,008.37	27.6%	517
Total Cash and Money Market Funds	$10,008.37	27.6%	$517

Annualized 30 Day Yields	
Dean Witter Liquid Asset Fund	5.17%
Dean Witter US Govt Money Mkt	4.78%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
100	AMERICAN ITALIAN PASTA CO A	21	2,100.00	5.8%	0	0.00%	PLB	
150	HOUSEHOLD INTL INC	113 1/4	16,987.50	46.9%	252	1.48%	HI	Next Dividend Payable 01/98
150	SUNAMERICA INC	35 15/16	5,390.62	14.9%	40	.74%	SAI	Next Dividend Payable 11/97
100	U.S.A. FLORAL PRODUCTS INC	17 1/2	1,750.00	4.8%	0	0.00%	ROSI	
Total Stocks			$26,228.12	72.4%	$292	1.11%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	36,236.49	$809

ACTIVITY DETAILS

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
10-15	Bought	100	AMERICAN ITALIAN PASTA CO A	18	1,800.00	
10-16	Bought	100	U.S.A. FLORAL PRODUCTS INC	13	1,300.00	
10-31	Bought	100	HOUSEHOLD INTL INC	108 7/16	10,932.77	PREFERENTIAL RATE

Income

Date	Activity	Description	Amount	Income Category
10-15	Dividend	HOUSEHOLD INTL INC	21.00	Stocks
10-31	Dividend	DEAN WITTER LIQUID ASSET FUND	96.10	Money Market Funds
		Total Income	$117.10	

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING SEPTEMBER 30, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number 642 115917 AE 145

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	9.00	---	---
DEAN WITTER LIQUID ASSET FUND	23,915.04	67.4%	1,229
Total Cash and Money Market Funds	$23,924.04	67.4%	$1,229

Annualized 30 Day Yields	
Dean Witter Liquid Asset Fund	5.14%
Dean Witter US Govt Money Mkt	4.68%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
50	HOUSEHOLD INTL INC	113 3/16	5,659.37	16.0%	84	1.48%	HI	Next Dividend Payable 10/15/97
150	SUNAMERICA INC	39 3/16	5,878.12	16.6%	40	.68%	SAI	Next Dividend Payable 11/97
Total Stocks			$11,537.49	32.6%	$124	1.07%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	35,461.53	$1,353

ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	08-29	Stock Dividend	50	SUNAMERICA INC			
	09-09	Sold	100	HARTFORD LIFE INC CLASS A	37 1/4	3,642.35	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
	09-09	Sold	500	BOSTON PROPERTIES INC	29 7/8	14,664.04	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT

Income	Date	Activity	Description	Amount	Income Category
	09-30	Dividend	HARTFORD LIFE INC CLASS A	9.00	Stocks
	09-30	Dividend	DEAN WITTER LIQUID ASSET FUND	76.52	Money Market Funds
			Total Income	$85.52	

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT
FOR MONTH ENDING AUGUST 31, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number 642 115917 AE 145

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
DEAN WITTER LIQUID ASSET FUND	5,532.13	15.7%	284
Total Cash and Money Market Funds	$5,532.13	15.7%	$284

Annualized 30 Day Yields

Dean Witter Liquid Asset Fund 5.15%
Dean Witter US Govt Money Mkt 4.60%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
500	BOSTON PROPERTIES INC	29 13/16	14,906.25	42.5%	0	0.00%	BXP	
100	HARTFORD LIFE INC CLASS A	37 5/16	3,731.25	10.7%	36	.96%	HLI	Next Dividend Payable 09/30/97
50	HOUSEHOLD INTL INC	110 15/16	5,546.87	15.8%	78	1.40%	HI	Next Dividend Payable 10/97
100	SUNAMERICA INC	53 7/8	5,387.50	15.3%	40	.74%	SAI	Next Dividend Payable 11/97
Total Stocks			$29,571.87	84.3%	$154	.52%		

Asset Summary	Value	Est Yrly Income
Total Asset Value	35,104.00	$438

ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	08-13	Sold	100	SANTA FE INTERNATIONAL	43 5/16	4,245.16	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT

Income	Date	Activity	Description	Amount	Income Category
	08-18	Dividend	SUNAMERICA INC	10.00	Stocks
	08-29	Dividend	DEAN WITTER LIQUID ASSET FUND	13.99	Money Market Funds
			Total Income	$23.99	

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING JULY 31, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number AE
642 115917 145

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
DEAN WITTER LIQUID ASSET FUND	1,262.98	3.5%	65
Total Cash and Money Market Funds	$1,262.98	3.5%	$65

Annualized 30 Day Yields	
Dean Witter Liquid Asset Fund	5.15%
Dean Witter US Govt Money Mkt	4.50%

Stocks/Options		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Additional Information
Common Stocks							
500	BOSTON PROPERTIES INC	27 7/8	13,937.50	38.8%	0	0.00%	
100	HARTFORD LIFE INC CLASS A	41 1/8	4,112.50	11.4%	36	.87%	
50	HOUSEHOLD INTL INC	129 1/2	6,475.00	18.0%	78	1.20%	Next Dividend Payable 10/97
100	SANTA FE INTERNATIONAL	41 1/4	4,125.00	11.5%	0	0.00%	
100	SUNAMERICA INC	60 1/2	6,050.00	16.8%	40	.66%	Next Dividend Payable 08/97
Total Stocks/Options			$34,700.00	96.5%	$154	.44%	

Asset Summary	Value	Est Yrly Income
Total Asset Value	35,962.98	$219

ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	07-15	Sold	351.533	DEAN WITTER GLOBAL UTILITIES	13.8700	4,798.27	
	07-16	Sold	81.755	DEAN WITTER UTILITIES FUND	16	1,274.50	
	07-17	Bought	100	SUNAMERICA INC	55	5,500.00	

Income	Date	Activity	Description	Amount	Income Category
	07-15	Dividend	HOUSEHOLD INTL INC	19.50	Stocks
	07-16	Dividend	DEAN WITTER LIQUID ASSET FUND	1.46	Money Market Funds
	07-31	Dividend	DEAN WITTER LIQUID ASSET FUND	2.33	Money Market Funds

DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT
FOR MONTH ENDING JUNE 30, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number G42 115917 AE 145

ACTIVITY DETAILS

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
06-03	Sold	8	DEAN WITTER DIVIDEND GWTH SECS	49.8000	398.40	
06-06	Sold	180	DEAN WITTER UTILITIES FUND	15.5100	2,728.34	
06-13	Bought	100	SANTA FE INTERNATIONAL	28.5000	2,850.00	
06-16	Sold	286.782	TCW/DW CORE EQUITY TRUST	17.8700	5,023.90	
06-16	Sold	104.332	DEAN WITTER DIVIDEND GWTH SECS	52.4800	5,374.45	
06-18	Sold	100	OWENS ILLINOIS COM NEW	32 1/8	3,133.66	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
06-23	Bought	500	BOSTON PROPERTIES INC	25	12,500.00	
06-23	S/T Capital Gain	.668	DEAN WITTER GLOBAL UTILITIES	13.5600	9.06	TRANSACTION AT FUND COMPANY REINVESTMENT
06-23	Direct Purchase	2.538	DEAN WITTER GLOBAL UTILITIES	13.5600	34.41	DIVIDEND REINVESTMENT
06-23	L/T Capital Gain	4.225	DEAN WITTER GLOBAL UTILITIES	13.5600	57.29	TRANSACTION AT FUND COMPANY REINVESTMENT
06-23	L/T Capital Gain	.651	DEAN WITTER UTILITY FUND	15.6300	10.18	TRANSACTION AT FUND COMPANY REINVESTMENT
06-23	Direct Purchase	.669	DEAN WITTER UTILITY FUND	15.6300	10.46	DIVIDEND REINVESTMENT
06-23	Sold	166.213	DEAN WITTER AMERICAN VALUE FD	30.9300	5,047.48	
06-25	Bought	50	HOUSEHOLD INTL INC	110.5000	5,525.00	

Income

Date	Activity	Description	Amount	Income Category
06-23	Dividend	DEAN WITTER GLOBAL UTILITIES	34.41	Mutual Funds
06-23	Dividend	DEAN WITTER UTILITY FUND	10.46	Mutual Funds
06-30	Dividend	DEAN WITTER LIQUID ASSET FUND	7.43	Money Market Funds
		Total Income	$52.30	

Money Market

Date	Activity	Description	Amount	Additional Information
		Closing Balance as of 5/31	0.00	
06-04	Automatic Investment	DEAN WITTER LIQUID ASSET FUND	226.66	
06-09	Automatic Investment	DEAN WITTER LIQUID ASSET FUND	2,728.34	
06-13	Automatic Redemption	DEAN WITTER LIQUID ASSET FUND	-2,850.00	
06-17	Automatic Investment	DEAN WITTER LIQUID ASSET FUND	10,398.35	
06-19	Automatic Investment	DEAN WITTER LIQUID ASSET FUND	3,133.66	
06-23	Automatic Redemption	DEAN WITTER LIQUID ASSET FUND	-12,500.00	
06-25	Automatic Redemption	DEAN WITTER LIQUID ASSET FUND	-477.52	
06-30	Dividend Reinvestment	DEAN WITTER LIQUID ASSET FUND	7.43	
		Closing Balance as of 6/30	666.92	

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING MAY 31, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number AE
642 115917 145

ACTIVITY DETAILS

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
05-14	Sold	23	TCH/OH CORE EQUITY TRUST	16.7600	385.48	
05-14	Sold	17	DEAN WITTER GLOBAL UTILITIES	13.0300	221.51	
05-14	Sold	33	DEAN WITTER UTILITIES FUND	15.3300	505.89	
05-14	Sold	40	DEAN WITTER AMERICAN VALUE FD	28.5400	1,141.60	
05-14	Sold	8	DEAN WITTER DIVIDEND GWTH SECS	48.9000	391.20	
05-16	Bought	100	OWENS ILLINOIS COM NEW	28.5000	2,850.00	
05-28	Bought	100	HARTFORD LIFE INC CLASS A	28.2500	2,825.00	

Income

Date	Activity	Description	Amount	Income Category
04-30	Dividend	DEAN WITTER LIQUID ASSET FUND	11.54	Money Market Funds
05-27	Dividend	DEAN WITTER LIQUID ASSET FUND	10.24	Money Market Funds
		Total Income	$21.78	

Money Market

Date	Activity	Description	Amount	Additional Information
		Closing Balance as of 3/31	2,835.80	
04-30	Dividend Reinvestment	DEAN WITTER LIQUID ASSET FUND	11.54	
05-16	Automatic Redemption	DEAN WITTER LIQUID ASSET FUND	-204.32	
05-27	Dividend Reinvestment	DEAN WITTER LIQUID ASSET FUND	10.24	
05-28	Automatic Redemption	DEAN WITTER LIQUID ASSET FUND	-2,653.26	
		Closing Balance as of 5/31	0.00	

Dean Witter Fund Summary

	Ytd Dividends	Ytd Cap Gains	Ytd Taxes	Ytd Redemptions	Ytd Purchases	Features
TCH/OH CORE EQUITY TRUST	0.00	0.00	0.00	385.48	0.00	Reinvest Dividends and Capital Gains
DEAN WITTER GLOBAL UTILITIES	5.41	0.00	0.00	221.51	5.41	Reinvest Dividends and Capital Gains
DEAN WITTER UTILITY FUND	34.93	0.00	0.00	505.89	34.93	Reinvest Dividends and Capital Gains
DEAN WITTER AMERICAN VALUE	0.00	0.00	0.00	1,141.60	0.00	Reinvest Dividends and Capital Gains
DEAN WITTER LIQUID ASSET FUND	56.23	0.00	0.00	2,887.58	56.23	Reinvest Dividends
DEAN WITTER DIVIDEND GROWTH	15.60	0.00	0.00	391.20	15.60	Reinvest Dividends and Capital Gains
Totals	$112.17	$0.00	$0.00	$5,533.26	$112.17	

For Dean Witter Mutual Fund Account Information, call 1-800-869-NEWS(6397).

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DEAN WITTER REYNOLDS INC.

RETIREMENT ACCOUNT

FOR MONTH ENDING MARCH 31, 1997

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW #409N

Account Number 642 115917 AE 145

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
DEAN WITTER LIQUID ASSET FUND	2,835.80	10.4%	141
Total Cash and Money Market Funds	$2,835.80	10.4%	$141

Annualized 30 Day Yields

Dean Witter Liquid Asset Fund 4.98%
Dean Witter US Govt Money Mkt 4.32%

Mutual Funds		Current Price	Value	Pct of Assets	Est Yrly Income	Distribution Rate	Fund Plan Number	Dividend Option	Cap Gains Option
Dean Witter Mutual Funds									
361.102	DEAN WITTER GLOBAL UTILITIES	12.4100	4,481.27	16.5%	N/A	N/A	069193847	Reinv	Reinv
293.435	DEAN WITTER UTILITY FUND	14.8700	4,363.37	16.0%	170	3.90%	069706097	Reinv	Reinv
206.213	DEAN WITTER AMERICAN VALUE	26.7700	5,520.32	20.2%	N/A	N/A	066911846	Reinv	Reinv
120.332	DEAN WITTER DIVIDEND GROWTH	44.7900	5,389.67	19.8%	N/A	N/A	069701214	Reinv	Reinv
309.782	TCW/DW CORE EQUITY TRUST	15.0900	4,674.61	17.1%	N/A	N/A	069713999	Reinv	Reinv
Total Mutual Funds			$24,429.24	89.6%	$170	.69%			

Asset Summary	Value	Est Yrly Income
Total Asset Value	27,265.04	$311

ACTIVITY DETAILS

Assets

Date	Activity	Quantity	Description	Price	Amount	Additional Information
03-21	Direct Purchase	435	DEAN WITTER GLOBAL UTILITIES	12.4300	5.41	DIVIDEND REINVESTMENT
03-21	Direct Purchase	2.312	DEAN WITTER UTILITY FUND	15.1100	34.93	DIVIDEND REINVESTMENT
03-21	Direct Purchase	.337	DEAN WITTER DIVIDEND GROWTH	46.3100	15.60	DIVIDEND REINVESTMENT

Income

Date	Activity	Description	Amount	Income Category
01-31	Dividend	DEAN WITTER LIQUID ASSET FUND	11.82	Money Market Funds
02-28	Dividend	DEAN WITTER LIQUID ASSET FUND	10.75	Money Market Funds
03-21	Dividend	DEAN WITTER GLOBAL UTILITIES	5.41	Mutual Funds

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DEAN WITTER REYNOLDS INC.

1997 ACTIVE ASSETS® ANNUAL SUMMARY STATEMENT

NICK JOE RAHALL II
1301 DELAWARE AVENUE SW APT 409N

Account Number 642 115916 AE 145

YEAR END ASSETS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
ACTIVE ASSETS TAX FREE TRUST	1,097.05	1.0%	35
Total Cash and Money Market Funds	$1,097.05	1.0%	$35

Annualized 30 Day Yields	
Active Assets Money Trust	5.32%
Active Assets Govt. Sec. Tr.	4.98%
Active Assets California Tax Free	2.97%
Active Assets Tax Free Trust	3.21%
Dean Witter Insured Account	4.88%
Active Assets Deposit Account	4.88%

Other	Est NAV	Valuation Est.	Pct of Assets	Fund Number	Date	Additional Information
Managed Futures						
43.609 PRT STRATEG FUND (EST.VAL)	2,363.00	103,048.06	99.0%	0	12/30	
Total Other		$103,048.06	99.0%			

Asset Summary	Value	Est Yrly Income
Total Asset Value	104,145.11	$35

1997 ACTIVITY DETAILS

Assets	Date	Activity	Quantity	Description	Price	Amount	Additional Information
	08-13	Bought	43.609	DEAN WITTER PORTFOLIO STRAT FD	2293.1300	-100,000.00	PURCHASE AS OF 08/01
	08-13	Escrow Sold		DEAN WITTER PORTFOLIO STRAT FD		+100,000.00	SETTLED PURCHASE FROM ESCROW
	03-19	Bought	500	HEALTH&RETIREMENT PPTY TR SBI	18 7/8	9,437.50	
	06-18	Sold	500	HEALTH&RETIREMENT PPTY TR SBI	18 3/8	9,159.84	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
	07-31	Buy Escrow		PRT STRATEGYFUND		100,000.00	UNSETTLED PURCHASE IN ESCROW

Income	Activity	Description	Amount	Income Category
	Tax Exempt Dividend	ACTIVE ASSETS TAX FREE TRUST	51.32	Money Market Funds
	Dividend	HEALTH&RETIREMENT PPTY TR SBI	180.00	Stocks
	Taxable Interest	PRT STRATEGYFUND	68.06	Managed Futures

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
LEGISLATIVE REFERENCE
98 MAY 15 PM 12:00
CLERK OF THE U.S.
U.S. HOUSE OF REPRESENTATIVES
MAY 12
(Office Use Only)
(5)

JAMES MARVIN RAMSTAD
(Full Name)

2618 CROSBY ROAD
(Mailing Address)

WAYZATA, MINNESOTA 55391

Daytime Telephone (202) 225-2871

Filer Status: [X] Member of the U.S. House of Representatives — State Minnesota District Third; [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15); [ ] Amendment; [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [ ]	No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [ ]	No [X]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [X]	No [ ]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5-11-98

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Name JAMES MARVIN RAMSTAD | Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B: None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	Block E: P, S, E
SP	Examples	SP	Moga Corp. Stock					X							X										X								P
DC			Simon & Schuster			Indefinite															Royalties								X				
JT			1st Bank of Paducah, KY accounts						X								X										X						
	Woodworth Farmers Group				X										X								X										
	Legislative Retirement Plan*						X																										

*No income derived

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JAMES MARVIN RAMSTAD

SP OU CE	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P. S. E
	Farm property - No. Dakota, total of 960 acres (no improvements) and undivided one-half interest in parcels totaling 800 acres (one parcel with farm bldgs).								X					X													X	(Gross & Net)			

This page may be copied if more space is required.

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Norwest Bank, Minneapolis, MN	Personal Loan		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Advisory Board Member	Lake Country Food Bank
Board Member	Violence Against Women Coalition
Board Member	Minnesota D.A.R.E.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NONE	

GPO 1998 46-200 (mac)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

Charles Bernard Rangel
(Full Name)

2354 Rayburn House Office Bldg.
(Mailing Address)

Washington, DC 20515

Daytime Telephone

Filer Status	[XX] Member of the U.S. House of Representatives	State District	[ ] Officer or Employee	Employing Office
Report Type	[XX] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [X]	No [ ]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year)
May 13, 1998

3223

Charles Bernard Rangel Name	Page 2 of 6

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C. XYZ Magazine	Speech Article	Feb. 2, 1997 Aug. 13, 1997	$2,000 $500
	Federal Budget Consulting Group, WDC	Speech	May 12, 1997	1,000.

This page may be copied if more space is required.

Name: Charles Bernard Rangel

Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset												Block C: Type of Income							Block D: Amount of Income											Block E: Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples* SP Mega Corp Stock			Indefinite		X								X						Royalties				X								P
	Examples 1st Bank of Paducah KY accounts						X									X										X			X			
	74 West 132nd St, NY,NY					X															X											
	Punta Cana Beach Villa, Dom Rep					X															X											
	New England Mutual Life Boston, MA				X																											

For additional assets and unearned income, use next page.

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	CitiBank, New York, NY	mortgage on 74 W 132nd St. New York, NY			X							
	Punta Cana Beach Villa, Dom Rep	mortgage on Punta Cana condo		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
Chamber of Commerce of Mauritius	ship model	1,100.

Use additional sheets if more space is required.

Name	Page 5 of 6
Charles Bernard Rangel	

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U S C § 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C - Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6-13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Chinese National Assn of Industry and Commerce; Taipei, Taiwan	May 24-31	New York-Taipei-Hong Kong-Taipei-New York	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Chairman of the Board	Apollo Theatre Foundation
Board Member	Congressional Black Caucus Foundation
Board Member	Harlem Community Development Corporation

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

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U.S. HOUSE OF REPRESENTATIVES

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5

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Rep Bill Redmond
(Full Name)

2268 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone (202) 225-6190

Filer Status	[X] Member of the U S House of Representatives	State NM District 03	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [ ] No [X]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [ ] No [X]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11) — Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL Bill Redmond **DATE** (Month/Day/Year) 5/13/98

32229

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria. list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Los Alamos Public Schools	Spouse Salary	NA
	Freelance Writing	Spouse Sales	NA
	University of New Mexic	Spouse Salary	NA
	New Mexico Christian Evangelistic Association	Salary	$13,500.00
	First United Methodist Church	Salary	$337.50

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC JT	*Examples* SP Mega Corp. Stock 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
SP	Kemper Total Return Fund	$1,001 - $15,000	Dividends	None	
	Kemper Small Cap Equity Fund	$1,001 - $15,000	Dividends	None	
JT	Kemper JTUROS	$1,001 - $15,000	Dividends	None	
	T-Flex Travelers IRA	$1,001 - $15,000	Dividends	None	
JT	3242-A Walnut, Los Alamos	$50,001 - $100,000	Rent	$5,001 - $15,000	
JT	3242-B Walnut, Los Alamos	$50,001 - $100,000	Rent	$2,501 - $5,000	S

9231

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
JT	3242-B Walnut, Los Alamos	Sold	8/20/97	$50,001 - $100,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
JT	Los Alamos National Bank	Mortgage on 3242-A Walnut	$15,001 - $50,000
JT	Mountain Community Bank	Mortgage on 3242-B Walnut	$15,001 - $50,000
JT	Los Alamos National Bank	Mortgage on 3242-B Walnut	$10,001 - $15,000

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

- Ralph Regula
(Full Name)

2309 Rayburn HOB
(Mailing Address)

(202) 225-3876
Daytime Telephone

Washinton, DC 20515

Filer Status [x] Member of the U.S. House of Representatives — State: Ohio District: 16th [ ] Officer or Employee — Employing Office

Report Type [x] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [x] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [x] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [x] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [ ] No [x]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [x] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [x]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [ ] No [x]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [ ] No [x]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [x]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [x]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [x]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report, may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) May 6, 1998

3234

Name	Ralph Regula	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Ohio Public Employees Retirement System	Employer-Employee Funded Retirement	5459.00

For payments to charity in lieu of honoraria, use Schedule II.

Name	Ralph Regula	Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash. D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
American Council on Education Fellows Program	Participation in Federal Budget Exercises	June 4, 1997	$ 1000.
Steel Manufacturers Assoc.	Speech	June 5, 1997	1000.

This page may be copied if more space is required.

Name Ralph Regula

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Owner	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction
SP	Mega Corp Stock					X								X										X								P
DC	Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	United Bank - Stocks and Savings, Including IRA							X						X		X										X						
	J. M. Smucker - Stock					X								X									X									
	Crown Cork & Seal, Inc.					X								X										X								
	CBC Bank - Stock						X							X		X								X								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ralph Regula

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P S E
	Undivided 1/2 Int. in 122 acres, Beth. Twp., Stark County, Ohio	E X	Royalty-Rent	IV X	
	200 acres, Beth. Twp., Stark County, Ohio IExclusive of residences (2)	F X	Royalty-Rent	IV X	
	T&C Credit Union, Canton, Ohio, IRA (Savings Acc't)	B X	INTEREST X	III X	
	Wayne National IRA (Savings Acc't)	B X	INTEREST X	III X	
	Regula Bros., Beach City, Ohio - Partnership - Livestock, Farm Equipment, Transportation Equipment	E X	Partnershiop Distribution	III X	

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Name	Ralph Regula	Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	United Bank, Beach City, Ohio	Business Loan			X							
	United Bank, Canton, Ohio	Mortgage, Residence, 8640 Erie Ave. S.W., Navarre, Ohio (Part of 200 acres)				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	Ralph Regula	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Regula Brothers Partnership
Trustee	Mt. Union College
Trustee	Stark Wilderness Center
Trustee	McKinley Museum

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

3241

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

SILVESTRE REYES
(Full Name)

732 AZALEA
(Mailing Address)

Daytime Telephone
EL PASO, TEXAS 79922 (202)225-4831

Filer Status	[X] Member of the U.S. House of Representatives	State TEXAS District 16th	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 05/15/98

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Issue State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
BANK OF THE WEST	IRA DISTRIBUTION	3,000.

For payments to charity in lieu of honoraria, use Schedule II

Name SILVESTRE REYES

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude, Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source		Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify. For Example: Partnership Income or Farm Income))	Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Transaction (P, S, E)
SP	Mega Corp. Stock	E	X	DIVIDENDS: X	IV	P
DC	Simon & Schuster	C	Indefinite	Other: Royalties	VI	P
JT	1st Bank of Paducah, KY accounts	F	X	INTEREST: X	IX	
JT	GOVERNMENT EMPLOYEES C.U. P.O. BOX 20998, EL PASO, TX	C	X	INTEREST: X	II	
JT	BANK OF THE WEST P.O. BOX 99100, EL PASO, TX	C	X	INTEREST: X	V	

For additional assets and unearned income, use next page

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	RUIDOSO STATE BANK, RUIDOSO, NEW MEXICO	MORTGAGE ON LAND/RUIDOSO,NM			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

3244

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
AMERICAN ISRAEL EDUCATION FOUNDATION		AUG 02-10	WASH D.C.-ISRAEL-WASH D.C.	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Frank Duncan Riggs
(Full Name)
P.O. Box 590, Windsor, CA 95492 707-525-3311
(Mailing Address) Daytime Telephone

HAND DELIVERED
(Office Use Only)

(8)

Filer Status	[✓] Member of the U S House of Representatives	State CA District 1st	[ ] Officer or Employee — Employing Office
Report Type	[✓] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [✓] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [✓]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [✓] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [ ] No [✓]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [✓] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [✓]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [✓] No [ ]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [✓] No [ ]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [✓]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [✓]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [✓]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U S C app 4, §104 and 18 U S C §1001)

SIGNATURE OF REPORTING INDIVIDUAL Frank Duncan Riggs — DATE (Month/Day/Year) May 15, 1998

3246

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Boeing State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Kirk Veale, Santa Rosa, CA	Spouse Commission	N/A
	Riggs Research, Alexandria, VA	Spouse income	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	*Examples*	SP																			Royalties												
DC				Indefinite				X							X										X					X			P
JT								X									X									X							
JT	155 Merrer Dr Windsor, CA							X								X												X					
JT	701 Pennsylvania Ave #1018 Washington DC							X								X										X							

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Frank Riggs

SP DC H	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P S E
	JT/corp 25% partnership interest in Hungstack Landing Assc. a CA. general partnership owns 37 acres at 3355 Petaluma Blvd So. Petaluma CA.							X							X											X						
	JT/corp Judgement recorded against Nancy & Richard Gardner, Gardner Const & W Robert Walker & Sherry Walker						X														X											

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Name Frank Riggs | Page 5 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	Glendale Federal, CA	mortgage on 155 Palmer Wind Sor, CA				X						
JT	Chase Manhattan mort. Columbus, Ohio	mortgage on 701 Pennsylvania Ave DC			X							
JT	Chevy Chase, FSB Chevy Chase, Maryland	2nd mortgage on 701 Pennsylvania Ave DC		X								
JT/Corp	M+H Enterprises 29% int.	Note on 3355 Potomac Blvd Sa. Pot.			X							
JT	Sonoma National Bank Santa Rosa, CA	Business Loan		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	NONE	

Use additional sheets if more space is required.

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Buttonsholl Marine Emp. Retirement Trust / c/o Paul Michaelczyk	Business loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute	Mar. 7-9	Wash DC - Hershey, PA - Wash. DC	Y	Y	Y	N
	Calif. Bail Bondsmen's Assn.	Oct. 14	San Francisco, CA - San Diego, CA - San Francisco	N	Y	N	N
	National School Boards Assn.	Dec. 12 - Dec. 14	Wash. DC - Anaheim - Wash. DC	N	Y	N	Y 2 days

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
President	Frank & Cathy Riggs Inc.
Partner	Haystack Landing Assc, California General Partnership

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

3254

UNITED STATES HOUSE OF REPRESENTATIVES

FORM A
For use by Members, officers, and employees

RECEIVED
98 MAY 21 AM 8 31

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Robert R. Riley
(Full Name)

700 County Road 5
(Mailing Address)

Daytime Telephone

Ashland, AL 36251

MC MAY 15 1998
(Office Use Only)

(10)

Filer Status	[X] Member of the U.S. House of Representatives	State Alabama District 3rd	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (e.g., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [ ] No [X]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Robert R. Riley

DATE (Month/Day/Year): 5-15-98

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: Robert R. Riley

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Examples	SP	Mega Corp. Stock	Brown & Schuster	1st Bank of Paducah, KY accounts	A None	B $1 - $1,000	C $1,001 - $15,000	$15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXEMPTED TRUST	QUALIFIED BLIND TRUST	(Other - Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
										X								X									X									P
				Intuitive							X													Royalties						X						
	Randolph C., AL Util. Bonds								X											X							X									
	AL State G/O Bonds								X											X							X									
	Birmingham Med. Cnt Bonds								X											X							X									
	Ford Motor Credit Notes										X									X									X							
	Huntsville AL GO Bonds								X											X							X									
	Mobile AL I/D Bonds								X											X							X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND UNEARNED INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

Page 2 of 4

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Tarrant City, AL I/D Bd			X												X							X									
	Un. of AL G/T Bonds					X										X									X							
	Denver Airport Bds 91	X														X							X									S
	Denver Airport Bds 93	X														X					X											S
	Denver Airport Bds 92	X														X							X									S
	Eaton-Vance AL Tax Fr94				X											X								X								
	Gadsden, AL Med Bd				X											X								X								
	Georgia Mun. Authority			X												X							X									
	Hale Co., AL Water Bd			X												X							X									
	Homewood, AL Hosp. Bds			X												X							X									
	Jefferson Co., AL Bds			X												X							X									
	Lineville, AL G/U Bds			X												X							X									
	Monroeville, AL Water Bd			X												X							X									
	Birmingham Airport Aut.	Bds		X												X							X									
	Courtland, AL IDB Bds			X												X							X									
	Decatur, AL Pub.Hsg A.	Bds		X												X							X									
	Huntsville, AL IDB Bds			X												X							X									
	Mobile, AL IDB Bonds				X											X								X								S
	Mobile, AL IDB Bonds			X												X							X									S
	Mobile, AL Pub Hsg A.	Bds		X												X							X									
	Scottsboro, AL IDB Bds			X												X							X									

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SCHEDULE III — ASSETS AND UNEARNED INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

Page 3 of 4

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other (Type of Income (Specify))	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Un. of AL IDB Bonds				X											X								X								
	Selma, AL IDB Bonds			X												X							X									
	600 C. Rd 5 House & Lot Ashland					X									X										X							
	Hwy 77S House & Lot Ashland					X									X										X							
	405 E. Orange House & Lot Talladega				X										X										X							
	Liberty C. Rd House & Lot Ashland				X										X										X							
	5055 Gulf of Mexico Dr-condo Sarasota						X								X											X						
	Hwy 9N 10 acr. ld Ashland					X									X								X									
	80 acres land Clay, Co, AL					X									X								X									
	Lake Wedowee Rd 80 acres					X									X								X									S
	70% Midway Ford-Ashland							X						X		X	X									X						
	Southland Mfg Co-Ashland						X							X											X							
	50% Midway Transit-Ashland						X							X		X										X						
	50% Riley Inv.-partnership								X						X												X					
	50% Woodland Hills-partn.						X								X												X					
	EMC-LTD partnership				X										X									X								
	50% Ashland Plaza-Ashland							X							X												X					
	50% Raintree Dev.					X									X								X									
	5% E.D.Riley,JrFmyLTD Ptr				X									X		X	X									X						
	Exten Industries		X											X									X									
	Merry Go Round Enterprises		X											X									X									
	Centennial Money Market Trust		X											X									X									

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SCHEDULE III — ASSETS AND UNEARNED INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

Page 4 of 4

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	150 ac Hwy 31N-Ashland						X								X								X									
	700 C. Rd 5 600 acre farm							X							X								X									
	Medpartners, Inc.	X												X							X											P/S
	Ft Target Trust Ser. 211			X										X								X										P
	1st TR Target 5 TR				X									X								X										P
	1st TR Target 5 TR				X									X								X										P
	1st TR Target 5 TR			X										X								X										P
	1st TR Target 5 TR			X										X								X										P
	1st TR Target 5 TR			X										X								X										P
	1st TR Target 5 TR				X									X								X										P
	1st TR Target 5 TR	X												X								X										P
	AL Hsg Fin. Auth.	X												X								X										S
	B'Ham Reg. Med. N			X										X								X										S
	Burke Co., GA Dev. Auth.			X										X								X										S
	DCH Healthcare Auth.				X									X								X										S

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SCHEDULE IV — TRANSACTIONS

Name Robert R. Riley

Page 1 of 2

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Lake Wedowee, 80 acres of land, Ashland		X		11-10-97			X							
	Medpartners, Inc.	X			3-18-97		X								
	Medpartners, Inc.		X		8-19-97		X								
	Denver Airport Bonds 91		X		12-15-97		X								
	Denver Airport Bonds 92		X		11-17-97		X								
	Denver Airport Bonds 93		X		12-15-97		X								
	FT Target 5 Trust	X			11-19-97	X									
	1st TR Target 5 TR	X			6-03-97		X								
	1st TR Target 5 TR	X			6-03-97		X								
	1st TR Target 5 TR	X			6-12-97	X									
	1st TR Target 5 TR	X			5-23-97	X									
	1st TR Target 5 TR	X			7-02-97	X									
	1st TR Target 5 TR	X			8-20-97		X								
	1st TR Target 5 TR	X			4-25-97		X								
	Alabama Hsg Fin. Authority Bds		X		1-27-97			X							

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SCHEDULE IV — TRANSACTIONS

Name Robert R. Riley

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	DCH Healthcare Authority Bds		X		06-02-97		X								
	Burke Co., Georgia Dev. Auth. Bds		X		07-01-97	X									
	Mobile, AL IDB Bonds		X		06-02-97		X								
	Mobile, AL IDB Bonds		X		06-02-97	X									

This page may be copied if more space is required.

SCHEDULE V — LIABILITIES

Name Robert R. Riley

Page 1 of 1

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	SouthTrust Bank, Anniston, AL	Personal Loan				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Riley and Riley Investments
Partner	E.D. Riley, Jr. Family Limited Partnership
Partner	Woodland Hills Apartments
Stockholder	E.M.C. Properties, LTD
Stockholder	Midway Transit, Inc.
Stockholder	Southland Mfg., Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 1988 48-280 (enc)

Use additional sheets if more space is required

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Stockholder	Midway Ford, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required

BOB RILEY
3RD DISTRICT, ALABAMA
NATIONAL SECURITY
SUBCOMMITTEE ON
MILITARY READINESS
SUBCOMMITTEE ON
MILITARY RESEARCH AND DEVELOPMENT
DEFOT CAUCUS
BANKING AND FINANCIAL SERVICES
SUBCOMMITTEE ON
CAPITAL MARKETS AND SECURITIES
SUBCOMMITTEE ON
OVERSIGHT AND INVESTIGATIONS

Congress of the United States
House of Representatives
Washington, DC 20515–0103

610 CANNON BUILDING
WASHINGTON, DC 20515-0103
PHONE (202) 225-3261

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114 6TH STREET NORTH
P.O. BOX 607
CLANTON, AL 35046
PHONE (205) 755-1622

bob.riley@mail.house.gov

June 1, 1998

(9)

HAND DELIVERED

98 JUN -2 PM 5:15

MC

The Honorable Robin Carle
Clerk of the House
Office of Records and Registration
B106 Cannon House Office Building
Washington, DC 20515

Dear Madam Clerk:

Please accept the following amended Form B for the period January 1, 1995, through December 31, 1995, and Form A for the calendar year 1996. The following items detailed below were inadvertently omitted from both reports.

(1) Alabama Housing Authority stock was owned prior to 1995 and was sold in 1997.
(2) Birmingham Regional Medical Center North stock was owned prior to 1995.
(3) Burke County, GA Development Authority stock was owned prior to 1995 and was sold in 1997.
(4) DCH Healthcare stock was owned prior to 1995 and was sold in 1997.

Details describing these assets are reflected in the attached amended schedules to my financial disclosure statement.

Sincerely,

Bob Riley

Bob Riley
Member of Congress

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1996

FORM A
For use by Members, officers, and employees

RECEIVED
93 JUN -2 AM 9:57
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

HAND DELIVERED
(Office Use Only)

Robert R. Riley
(Full Name)

700 County Road 5
(Mailing Address)

Daytime Telephone

Ashland, AL 36251

Filer Status	[X] Member of the U.S. House of Representatives — State Alabama District 3rd	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

ELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10–11.)	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

DATE (Month/Day/Year) 6/2/98

3265

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Robert R. Riley

Page 1 of 7

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

For further information, see Instructions, pages 14–20.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

If other than one of the listed categories, specify the type of income by writing a brief description in this block.

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	P, S, E
SP	*Examples* Mega Corp. Stock				X								X							X									P
DC	123 Main St., Dover, Del.							X						X											X				
JT	1st Bank of Paducah, KY accounts					X									X							X							
	Randolph Co., AL Utility Bonds			X											X				X										
	AL State G/O Bonds			X											X				X										
	Birmingham Med. Cnt Bonds			X											X				X										
	Ford Motor Credit Notes					X									X								X						
	Huntsville AL G/O Bonds			X											X				X										
	Mobile AL I/D Bonds			X											X				X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income					BLOCK D Amount of Income										BLOCK E Transaction
		A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	P, S, E
	Tarrant City, AL I/D Bonds		X												X					X									
	University of Alabama G/T Bonds				X										X							X							
	Denver Airport Bds 91			X											X						X								
	Denver Airport Bds 93			X											X						X								
	Denver Airport Bds 92			X											X						X								
	Eaton-Vance AL Tax Free 93			X											X						X								S
	Eaton-Vance AL Tax Free 94			X											X						X								
	Gadsden, AL Med. Bd			X											X						X								
	Georgia Mun. Authority		X												X					X									
	Hale County AL Water Board		X												X					X									
	Homewood, AL Hosp. Bds		X												X					X									
	Jefferson County, AL		X												X					X									
	Lineville, AL G/O Bds		X												X					X									
	Monroeville, AL Water Bd Bds.		X												X					X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	BLOCK E Transaction P, S, E
	Birmingham Airport Auth. Bonds		X												X					X										
	Courtland, AL IDB Bonds		X												X					X										
	Decatur, AL Pub. Hsg. Auth. Bonds		X												X					X										
	Huntsville, AL IDB Bonds		X												X					X										
	Mobile, AL IDB Bonds			X											X						X									
	Mobile, AL IDB Bonds		X												X					X										
	Mobile, AL Pub. Hgs. Auth. Bonds		X												X					X										
	Scottsboro, AL IDB Bonds		X												X					X										
	University of Alabama IDB Bonds			X											X						X									
	Selma, AL IDB Bds		X												X					X										
	65 shares Cadence, Inc.	X											X						X										S
	30 shares Hewlett Packard	X											X						X										S
	50 shares Gartner Group	X											X						X										S
	Bosh-Greentree Corp.	X											X						X										S
	220 shares S-3, Inc.	X											X						X										S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	BLOCK E Transaction: P, S, E
	60 shares Altera	X											X						X										S
	140 shares Ascend Comm.	X											X						X										S
	120 shares Bay Network	X											X						X										S
	100 shares Boston Scientific	X											X						X										S
	70 shares C=Cabe Micro	X											X						X										S
	150 shares Cognex Corp.	X											X						X										S
	100 shares Hummingbird Comm.	X											X						X										S
	45 shares IDEXX Lab	X											X						X										S
	105 shares Informix	X											X						X										S
	100 shares Macromedia	X											X						X										S
	65 shares McAfee Assoc.	X											X						X										S
	55 shares Medtronics	X											X						X										S
	90 shares Peoplesoft, Inc.	X											X						X										S
	Quarterdeck Corp.	X											X						X										S
	80 shares Stratacom	X											X						X										S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None - $1,000	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None - $200	II $201 - $1,000	III $1,001 - $2,500	IV $2,501 - $5,000	V $5,001 - $15,000	VI $15,001 - $50,000	VII $50,001 - $100,000	VIII $100,001 - $1,000,000	IX $1,000,001 - $5,000,000	X Over $5,000,000	BLOCK E Transaction: P, S, E
	70 shares Structural Systems	X											X						X									S
	65 shares Sun Microsystems	X											X						X									S
	3 Com. Corp.	X											X						X									S
	45 shares U.S. Robotics	X											X						X									S
	30shares United Healthcare	X											X						X									S
	60 shares Watson Pharm.	X											X						X									S
	Site Base Media	X											X						X									S
	600 County Road 5 House and lot Ashland, AL				X									X								X						
	Highway 77 South House and lot, Ashland, AL				X									X								X						
	405 East Orange Street House and lot, Tuscaloosa, AL			X										X								X						
	Liberty Church Road House and lot, Ashland, AL			X										X								X						
	5055 Gulf of Mexico Drive Condo, Sarasota, FL					X								X									X					
	Highway 9 North 10 acres land, Ashland, AL				X									X						X								
	Lake Wedowee Road 80 acres land, Randolph, AL				X									X						X								
	80 acres land, ClayCounty, AL ~~Olive Branch Road~~				X									X						X								

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3270

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None - $1,000	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None - $200	II $201 - $1,000	III $1,001 - $2,500	IV $2,501 - $5,000	V $5,001 - $15,000	VI $15,001 - $50,000	VII $50,001 - $100,000	VIII $100,001 - $1,000,000	IX $1,000,001 - $5,000,000	X Over $5,000,000	BLOCK E Transaction P, S, E
	70% Midway Ford, Inc., Ashland, AL						X						X		X	X					X								
	Southland Mfg. Co., Ashland, AL					X							X									X							
	50% Midway Transit, Inc., Ashland, AL					X							X		X								X						
	50%Riley Investment-A partnership							X						X										X					
	50% Woodland Hills-partnership					X								X										X					
	EMC Ltd.-partnership			X										X							X								
	50% Ashland Plaza, Ashland, AL						X							X										X					
	50% Raintree Development				X									X					X										
	5% E.D. Riley, Jr. Family Ltd. Partnership			X									X		X	X							X						
	Dell Computer Corp.	X											X						X										S
	Electronics for Imaging Corp.	X											X						X										S
	Picturetel Corp.	X											X						X										S
	Exten Industries, Inc.	X											X						X										
	Merry Go Round Enterprises	X											X						X										
	Centennial Money Market Trust	X											X						X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

Page 7 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None - $1,000	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None - $200	II $201 - $1,000	III $1,001 - $2,500	IV $2,501 - $5,000	V $5,001 - $15,000	VI $15,001 - $50,000	VII $50,001 - $100,000	VIII $100,001 - $1,000,000	IX $1,000,001 - $5,000,000	X Over $5,000,000	BLOCK E Transaction P, S, E
	150 acres, Ashland Highway 31 N					X								X						X								
	200 shares SouthTrust Bank	X											X							X								S
	700 County Road 5 600 acre farm, Ashland						X							X											X			
	Alabama Hsg. Fin. Authority	X											X						X									
	B'Ham Reg. Med. N.		X										X						X									
	Burke Co. GA Dev. Auth.		X										X						X									
	DCH Healthcare Auth.			X									X						X									

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98 APR 28 PM 4:21

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

LYNN NANCY RIVERS
(Full Name)
518 Second St Ann Arbor, MI 48103
(Mailing Address)
(202) 225-6261
Daytime Telephone
(202)

HAND DELIVERED (5)
MC (Office Use Only)

Filer Status	☒ Member of the U.S. House of Representatives	State MI District 13	☐ Officer or Employee	Employing Office
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date

A ***$200 penalty*** **shall be assessed against anyone who files more than 30 days late.**

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions. (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Lynn N. Rivers

DATE (Month/Day/Year): 4/28/98

3273

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Ford Motor Company	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name LYNN NANCY RIVERS | Page 3 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Mega Corp Stock	F	DIVIDENDS	IV	P
DC	Simon & Schuster	Indefinite	Royalties	X	
JT	1st Bank of Paducah KY accounts	F	INTEREST	VI	
SP	Ford Motor Co pension (sp)	C	NA	NA	

For additional assets and unearned income, use next page

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Wright Patman Federal Credit Union	Unsecured loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	M-CATS Education + Research Foundation Advisory Board

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

LYNN NANCY RIVERS
(Full Name)
518 Second St Ann Arbor, MI 48103
(Mailing Address)
(202) 225-6261
Daytime Telephone

MC (6)
(Office Use Only)

Filer Status: [X] Member of the U.S. House of Representatives — State MI District 13 — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [X] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Lynn N. Rivers

DATE (Month/Day/Year): 5/13/98

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Ford Motor Company	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	X (A: None; E: $100,001 – $250,000)	X (DIVIDENDS)	X (IV: $1,001 – $2,500)	P
DC	Simon & Schuster	Indefinite	RENT		S
JT	1st Bank of Paducah KY accounts	X (F: $250,001 – $500,000)	X (INTEREST)	X (VI: $5,001 – $15,000; IX: $100,001 – $1,000,000)	E
			CAPITAL GAINS		P
			EXCEPTED TRUST		
			QUALIFIED BLIND TRUST		
			Other Type of Income (Specify: For Example: Partnership Income or Farm Income): Royalties		

Examples

	Block A	Block B	Block C	Block D	Block E
SP	Ford Motor Co. pension	X (B: $1 – $1,000)	NA (CAPITAL GAINS)	NA (VI: $5,001 – $15,000)	

For additional assets and unearned income, use next page.

3280

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	Wright Patman Federal Credit Union	Unsecured loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U S C § 7342); travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute	March 7-9	Wash DC - Hershey, PA - Wash DC	Y	Y	N	N

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3282

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board member	M-CATS Education + Research Foundation Advisory Board

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

CIRO D. RODRIGUEZ
(Full Name)

363 W. HARDING, SAN ANTONIO, TX 78221
(Mailing Address) Daytime Telephone

HAND DELIVERED (5)
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State TX District 23	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Ciro D. Rodriguez

DATE (Month/Day/Year): 5/15/98

3284

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
STATE OF TEXAS, HOUSE OF REPRESENTATIVES*	SALARY	$2,922.00
SOUTH SAN ANTONIO INDEP. SCHOOL DISTRICT, SAN ANTONIO, TX	SPOUSE SALARY	N/A
SOUTHWEST CAPITAL MARKETS, SAN ANTONIO, TX	SALARY	$500.00
AMWAY CORPORATION	COMMISSION	$360.00

*PRIOR TO ELECTION/SWEARING IN AS MEMBER OF CONGRESS.

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

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BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E
SP.	Mega Corp. Stock					X								X																		P
DC.	Examples: Simon & Schuster			Indefinite																Royalties												
JT	1st Bank of Paducah, KY accounts						X									X									X							
	371 W HARDING, SAN ANTONIO, TX				X										X										X							
	307 SHRINE, SAN ANTONIO, TX				X										X										X							
	TEACHERS' INSUR. & ANNUITY ASS'N/COLLEGE RETIREMENT EQUITIES FUND, NEW YORK, NY				X									X		Y	X						—	NA	—							
	SAN ANTONIO CREDIT UNION SAN ANTONIO, TX			X										X									X									
	SAN ANTONIO TEACHERS CREDIT UNION, SAN ANTONIO, TX			X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE V — LIABILITIES

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SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	EDDIE EBNER, SAN ANTONIO, TX	MORTGAGE ON 374 W HARDING SAN ANTONIO, TX	X									
	HOMESIDE LENDING SAN ANTONIO, TX	MORTGAGE ON 307 SHRINE, SAN ANTONIO, TX	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

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Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	SOUTHWEST CAPITOL FOUNDATION, SAN ANTONIO, TX

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

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Use additional sheets if more space is required.

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MC (Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

CIRO D. RODRIGUEZ
(Full Name)

363 W. Harding
San Antonio, TX 78221
(Mailing Address)

Daytime Telephone 202-225-1640

Filer Status	[X] Member of the U S House of Representatives	State TX District 23	[ ] Officer or Employee	Employing Office
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

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IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U S C app 4, §104 and 18 U.S.C §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Ciro D. Rodriguez

DATE (Month/Day/Year) 6/8/98

3289

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 15 PM 12: 26

MC

HAND DELIVERED (4)
(Office Use Only)

Timothy J. Roemer
(Full Name)

2348 Rayburn House Office Building
(Mailing Address)

Washington DC 20515
Daytime Telephone 202-225-3915

Filer Status [X] Member of the U.S. House of Representatives — State Indiana District 03 [ ] Officer or Employee — Employing Office

Report Type [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

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SIGNATURE OF REPORTING INDIVIDUAL Tim Roemer

DATE (Month/Day/Year) May 15, 1998

3290

Name TIM ROEMER

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B												Block C							Block D											Block E
			A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP.		SP					X								X										X								P
DC.	*Examples*				Indefinite																Royalties									X			
JT								X									X										X						
JT	Vanguard Int'l. Growth					X									X									X									NA
JT	Vanguard VSP Health Care				X										X									X									NA
JT	Vanguard Index-Emerging				X										X								X										NA
JT	20th Century Vista				X										X								X										S
JT	Wasatch Aggresive Equity					X									X									X									S
JT	Third Avenue Small Cap.				X										X								X										P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name TIM ROEMER

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Autoliv, Inc.		X											X								X									NA
JT	Cisco Systems, Inc.			X										X								X									P.
JT	Acorn Investment Fund				X									X											X						P
JT	Congressional Fed. Credit Union			X												X							X								NA
JT	Proctor & Gamble			X										X								X									NA
JT	Morton International			X										X								X									NA
JT	Oakmark Fund				X									X										X							NA
JT	T. Rowe Price IRA			X										X								X									NA
JT	Vanguard U.S. Growth Fund				X									X									X								NA

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SCHEDULE IV — TRANSACTIONS

Name TIM ROEMER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	x			10–12–97		x								
JT	Wasatch Agressive Equity Fund		x		01/14/97		x								
JT	20th Century Vista Fund		x		01/14/97	x									
JT	Cisco Systems, Inc.	x			05/21/97	x									
JT	Acorn Invesement Fund	x			01/20/97		x								
JT	Third Avenue Small Cap Value Fund	x			06/10/97	x									

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3293

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

1998 MAY 15 PM 3:22
OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES

James Edward Rogan
(Full Name)

502 Cannon House Office Building
(Mailing Address)

Washington DC 20515-0537

Daytime Telephone 202-225-4176

MC

HAND DELIVERED (9)
(Office Use Only)

Filer Status: [X] Member of the U S House of Representatives — State California District 27 — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL — DATE (Month/Day/Year) May 15, 1998

3294

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	County of Los Angeles (deferred earnings)		
	A. Pacific Mutual GIC	Pension	9,243.63
	B. Great Western Bank	Pension	3,879.70
	C. First Interstate Bank	Pension	7,622.04
	County of Los Angeles (savings plan)		
	A. Pacific Mutual GIC	Pension	17,374.11
	B. Great Western Bank	Pension	18,557.35
	C. First Interstate Bank	Pension	15,374.50
	Home Savings of America (IRA Rollover)	Pension	24,411.32

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST + investment earnings	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction (P, S, E)
SP	Examples																															
DC	Mega Corp. Stock					X								X																		P
JT	Simon & Schuster			Indefinite																Royalties												
	1st Bank of Paducah, KY accounts						X									X									X							
	County of Los Angeles (Deferred Earnings) (401K)																															
A.	Pacific Mutual GIC			X												X				401(K)		X										T- cashed out
B.	Great Western Bank			X												X				401(K)		X										T- cashed out
C.	First Interstate Bank (no self directed)			X												X				401(K)		X										T- cashed out

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James E. Rogan

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
	County of Los Angeles (Savings Plan - 401K)				
	A. Pacific Mutual G/C	D: $15,001 – $50,000	Other Type of Income (Specify): 401(K)	II: $1 – $200	T- cashed out
	B. Great Western Bank	D: $15,001 – $50,000	INTEREST: X; Other Type of Income (Specify): 401(K)	II: $1 – $200	T- cashed out
	C. First Interstate Bank (not self directed)	D: $15,001 – $50,000	INTEREST: X; Other Type of Income (Specify): 401(K)	II: $1 – $200	T- cashed out
	Home Savings of America (IRA Savings Acct)	D: $15,001 – $50,000	INTEREST: X; Other Type of Income (Specify): IRA Rollover	II: $1 – $200	T- cashed out

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SCHEDULE IV — TRANSACTIONS

Name James E. Bogan

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	County of Los Angeles (deferred earnings)														
	A. Pacific Mutual GIC	cashed out			3-13-97	X									
	B. Great Western Bank	cashed out			3-13-97	X									
	C. First Interstate Bank	cashed out			3-13-97	X									
	County of Los Angeles (savings plan)														
	A. Pacific Mutual GIC	cashed out			3-13-97		X								
	B. Great Western Bank	cashed out			3-13-97		X								
	C. First Interstate Bank	cashed out			3-13-97		X								
	Home Savings of America (IRA Rollover)	cashed out			6-16-97		X								

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Name James E. Rogan | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

3300

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash, D C —Chicago—Wash, D C	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash, D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute (Bipartisan Congressional Retreat)	Mar 7-9	Wash DC - Hershey, PA - Wash DC	Y	Y	Y	registration

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
	NONE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
termination date as a county employee 5-9-94	County of Los Angeles	401(K) and IRA
	(accounts from service as a county prosecutor and state court judge)	
3-18-97 and 6-13-97	terminated and accounts closed (see transactions)	

GPO 1998 48-260 (mac)

Use additional sheets if more space is required.

3302

98 MAY 15 PM 4:51

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Harold Dallas Rogers
(Full Name)

2468 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone: (202) 225-4601

MC HAND DELIVERED

(Office Use Only)

8

Filer Status					
	[X] Member of the U.S. House of Representatives	State KY District 05	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Hon. H. D. Rogers

DATE (Month/Day/Year): 4-14-98

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Name Harold Dallas Rogers	Page of

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC JT *Examples* SP Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
Citizens Baneshares, Kentucky (Stock)	$1,000,001 - $5,000,000	Dividends	$100,001 - $1,000,000	
Broughton Foods, Inc. (Stock) formerly Southern Belle Dairy	$1,001 - $15,000	None	None	
Congressional Federal Credit Union	$15,001 - $50,000	Interest	$1,001 - $2,500	
Irvin Sensors Common Stock	$1 - $1,000	None	None	S
Cott Corporation Common Stock	$1 - $1,000	None	None	S
Stewart & Stevenson Common Stock	$1,001 - $15,000	Dividends	$1 - $200	S

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

CCA Industries Common Stock	$1 - $1,000	None	None	S
Fidelity Magellan Fund	$15,001 - $50,000	Dividends, Capital Gains	$1,001 - $2,500	
IRA - Prudential Securities Equity Fund	$50,001 - $100,000	Income Not Received Until Retirement	None	
Aztar Corporation (Stock)	$1 - $1,000	None	None	
Caterpillar, Inc (Stock)	$15,001 - $50,000	Dividends	$201 - $1,000	
Chrysler Corporation (Stock)	$1,001 - $15,000	Dividends	$201 - $1,000	
Intel (Stock)	$15,001 - $50,000	Dividends	$1 - $200	
Kellogg Company (Stock)	$1,001 - $15,000	Dividends	$1 - $200	
Merck & Co (Stock)	$1,001 - $15,000	Dividends	$1 - $200	
Motorola, Inc (Stock)	$1,001 - $15,000	Dividends	$1 - $200	
Pepsico, Inc (Stock)	$1,001 - $15,000	Dividends	$1 - $200	
Rexall Sundown (Stock)	$1,001 - $15,000	None	None	
Rubbermaid, Inc (Stock)	$1,001 - $15,000	Dividends	$1 - $200	
Texas Instruments, Inc (Stock)	$15,001 - $50,000	Dividends	$1 - $200	
United States Surgical Corporation (Stock)	$1,001 - $15,000	Dividends	$1 - $200	
First Commerce Bancorp	$15,001 - $50,000	Dividends	$201 - $1,000	
Beaver Lodge Subdivision, Wayne County, Kentucky	$1,001 - $15,000	None	None	
Citizens National Bank, Somerset, Kentucky	$100,001 - $250,000	Interest	$1,001 - $2,500	

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Office of Federal Employees' Group Life Insurance (proceeds & interest from policy on Shirley Rogers)	$1,001 - $15,000	Interest	$201 - $1,000	

Name Harold Dallas Rogers	Page of

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	CCA Industries (Stock)	Sold	January 27, 1997	Under $1,000.00
	Cott Corporation (Stock)	Sold	January 27, 1997	Under $1,000.00
	Irvine Sensors (Stock)	Sold	January 27, 1997	Under $1,000.00
	Stewart & Stevenson (Stock)	Sold	January 27, 1997	$1,001 - $15,000
	Citizens National Bank of Somerset, Kentucky (Transfer from checking at Congressional Federal CU)	Purchase	April 24, 1997	$15,001 - $50,000
	Citizens National Bank of Somerset, Kentucky	Sold	October 21, 1997	$15,001 - $50,000
	Citizens National Bank of Somerset, Kentucky (Transfer from matured certificate & checking at Congressional Federal CU)	Purchase	October 21, 1997	$100,001 - $250,000

Name Harold Dallas Rogers	Page of

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Citizens National Bank, Somerset, Kentucky	Personal Loan	$50,001 - $100,000

Name Harold Dallas Rogers	Page of

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
The Tobacco Institute	February 13-17, 1997	Washington, D.C. -Phoenix, AZ - Lexington, KY	Y	Y	N	N
American Association of Railroads	April 4-7, 1997	Lexington, KY - West Palm Beach, FL - Washington, D.C.	Y	Y	N	N
National Association of Broadcasters	September 18-20, 1997	Washington, D.C. - New Orleans, LA	Y	Y	N	N
American Crop Protection Association	September 26-28, 1997	Washington, D.C. - White Sulphur Springs, WV - Washington, D.C.	Y	Y	N	N

Name Harold Dallas Rogers	Page ___ of ___

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I

Position	Organization
Director (Unpaid)	Citizens Bancshares, Inc., Somerset, Kentucky

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MC (Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

DANA ROHRABACHER (Full Name)
2338 RAYBURN (Mailing Address)
WASHINGTON, D.C.
(202) 225-2415 Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State CA District 45	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Dana Rohrabacher

DATE (Month/Day/Year): 05/14/98

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Name ROHRABACHER	Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	COMMITTEE TO RE-ELECT DANA ROHRABACHER	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	Block D: None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	Block E
SP	Examples					X								X										X								P, S, E
DC	Mega Corp. Stock			Indefinite																Royalties								X				P
JT	Simon & Schuster						X									X									X							
	1st Bank of Paducah KY accounts																															
	Congressional Federal Credit Union Acct			X												X						X										
	SBC (IRA)				X									X									X									E
	Pacific Telesis (SBC bought out (IRA)) 7/97	X																			X											E
	Airtouch Communications (IRA)				X									X							X											
	Edison Intl (IRA)			X										X									X									
	DW Liquid Asset Fund (IRA)			X										X								X										

For additional assets and unearned income, use next page.

Name ROHRABACHER | Page 4 of 10

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	PACIFIC TELESIS / SBC COMMUNICATIONS (PT stock exchanged for SBC. SBC bought out PT on 4.97)			X	04-02-97		X								

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Name ROHRABACHER | Page 5 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
SP	County of Orange	FINE	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name ROHRABACHER | Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
CHINESE NATIONAL ASSOCIATION OF INDUSTRY AND COMMERCE	MAR 24-29, '97	LOS ANGELES, TAIPEI-LOS ANGELES	Y	Y	Y	N
ASIAN AMERICAN INSTITUTE	DEC 29, 1997-JAN. 11 1998	Los Angeles-Grand Rapids-Los Angeles	Y	Y	Y	6 days

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OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Carlos Romero-Barceló
(Full Name)

2443 Rayburn HOB
(Mailing Address)

(202) 225-2615
Daytime Telephone

Washington, D.C. 20515

Filer Status: [X] Member of the U S House of Representatives — State ____ District ____ ; [ ] Officer or Employee — Employing Office ____

Report Type: [X] Annual (May 15) ; [ ] Amendment ; [ ] Termination — Termination Date ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X] No [ ]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
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III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
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V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

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TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U S C app 4, §104 and 18 U S C §1001)

SIGNATURE OF REPORTING INDIVIDUAL Carlos Romero-Barceló

DATE (Month/Day/Year) 5/7/98.

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Name	Page
Carlos Romero-Barceló	1 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Commonwealth of Puerto Rico	Pension	$25,300

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock	X	DIVIDENDS: X	IV: X	P
DC. *Examples*	Simon & Schuster	Indefinite	Royalties: X	IX: X	
JT	1st Bank of Paducah, KY accounts	F: X	INTEREST: X	VI: X	
JT	Apt. #11 at Washington (P. Rico)	H: X	RENT: X	I: X	
JT	IRA Banco Bilbao Vizcaya	D: X	INTEREST: X	III: X	
JT	KEOGH Cong. Acct.	E: X	DIVIDENDS: X	VI: X	
JT	109 5th St. NE, WDC	G: X	RENT: X	VI: X	
JT	Puerto Rico - 7, Inc.	F: X	DIVIDENDS: X	I: X	
JT	Ponce Bank	D: X	DIVIDENDS: X	III: X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Carlos Romero-Barceló

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
JT	First Bank - Puerto Rico	D X	DIVIDENDS X	I X	
JT	Microsoft Corp.	D X	DIVIDENDS X	I X	
JT	Meager Means Investors	B X	DIVIDENDS X	I X	

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SCHEDULE IV — TRANSACTIONS

Name Carlos Romero-Barceló

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
JT	Apt. #10 at Washington Plaza (PR)		X		3-7-97						X				

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
JT	Banco Bilbao Vizcaya	Mortgage on 57 Washington St. Apt. 11 Puerto Rico				X						
JT	First Federal - Rochester	Mortgage on 109 5th St. NE Washington, DC					X					

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source		Description	Value
Example	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	New Jersey, Puerto Rican Parade (Atlantic City, Camden, Vineland)	Jun. 27-29	Cleveland-Philadelphia-San Juan	Y	Y	N	N
	Wisconsin - Waukesha La Casa de Esperanza	Aug.12-14	Washington, DC - Chicago - San Juan	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization	
President	RHR Real Estate, Inc.	Uncompensated
President	RGR Landmark, Inc.	"
Incorporator	Fundación Romero Donnelly	"

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46 260 (mac)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Ileana Ros-Lehtinen
(Full Name)

2240 Rayburn HOB Washington, D.C. 20515
(Mailing Address)

(202) 225-3931
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State Florida District 18	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "exempted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report, may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Ileana Ros-Lehtinen

DATE (Month/Day/Year): 5-13-1998

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Dexter Lehtinen, Attorney at Law - Various law firm clients	Spouse's law pratice	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ileana Ros-Lehtinen

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
JT	Bank Atlantic-Ft Lauderdale FL	B X	INTEREST X	II X	
SP	Community Bank of Homestead FL	C X	INTEREST X	IV X	
SP	Commercial Bank of FL Miami, FL	D X	INTEREST X	IV X	
	FL State Retirement Plan	C X	Other Type of Income	None X	
SP	FL State Retirement Plan	C X		None X	
SP	Mega Bank Stock, Miami FL	B X	DIVIDENDS X	None X	
	(2 IRAs) Community Bank Homestead FL	C X	INTEREST X	None X	
	Community Bank of Homestead	C X	INTEREST X	III X	

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SCHEDULE IV — TRANSACTIONS

Name Cong. Ileana Ros-Lehtinen

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	NONE														

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Steven R Rothman
(Full Name)
P.O. BOX 650
(Mailing Address)
Fair Lawn, NJ 07410
(Telephone Number) (201) 475-9232

HAND DELIVERED
MC (Office Use Only) (14)

Filer Status	[X] Member of the U.S. House of Representatives	State NJ District 9	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Terminal on Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL — DATE (Month/Day/Year) 5/14/98

3329

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Twinks Company, LLC, Fair Lawn, NJ	Manager's Fee	$10,000.00
	Philip + Muriel Rothman, Fort Lee, NJ	Manager's Fee	$ 8,000.00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500
	NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

I = Individually owned

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	E: $50,001 – $100,000	DIVIDENDS	IV: $1,001 – $2,500	P
DC	Examples: Simon & Schuster	C: $15,001 – $50,000 (Indefinite)	Other Type of Income (Specify: For Example, Partnership Income or Farm Income): Royalties	IX: $100,001 – $1,000,000	
JT	1st Bank of Paducah, KY accounts	F: $100,001 – $250,000	INTEREST	V: $2,501 – $5,000	
I	Nationwide Fixed Act (Public Employee Benefits Co.)	C: $15,001 – $50,000	DIVIDENDS	IV: $1,001 – $2,500	
I	Dreyfus AMT Money Market Fund	F: $100,001 – $250,000	DIVIDENDS	IV: $1,001 – $2,500	P
I	Lehman Bros NS Allocation Cit. Fd.	F: $100,001 – $250,000	INTEREST	IV: $1,001 – $2,500	S
I	Washington State	C: $15,001 – $50,000	INTEREST	III: $201 – $1,000	S
I	Central Oklahoma Transn +	C: $15,001 – $50,000	INTEREST	III: $201 – $1,000	S

For additional assets and unearned income, use next page

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
I	Israel State of	X	X	X	S
I	"	X	X	X	
I	Bankers Trust St Pmkt L	X	X		P
I	Putnam Voyager Fund	X	X	X	
I	Turbochef Inc.	X	X	X	P
IRA	Merrill Lynch Basic Value F	X	X	X	
IRA	Ford Motor Credit Notes	X	X	X	P
IRA	Con Edison Debentures	X	X	X	
IRA	American General Corp. Sr. Note	X	X	X	P
IRA	Merrill Lynch NOTES	X	X	X	S
I	250 North St. Englewood NJ (33% owner)	X	X	X	
I	4 E. Forest Ave. " " "	X	X	X	
I	30 Rutter St. S. Hackensack NJ (8 7/3% owner)	X	X	X	
I	538-540 Hayes St. S. Hackensack NJ (16 2/3% owner)	X	X	X	
I	550 Hayes St. S. Hackensack NJ (16 2/3% owner)	X	X	X	
I	125 Louis St. S. Hackensack NJ (5.7% owner)	X	X	X	
I	425 Victoria Ave. Ridgefield NJ (16 2/3% owner)	X	X	X	
I	150 Louis St. S. Hackensack NJ (13 2/3% owner)	X	X	X	
Partner	Dreyfus NJ Mony Mkt Fund (1%)	X	X	X	
Partner	Fidelity Num Mny Mkt Fund (43)	X	X	X	
Partner	Citibank Savings Acct (43)	X	X	X	
Partner	ROAN Mny Mkt Fund (5.7%)	X	X	X	

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

SP. DC. IT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
H	Puerto Rico Commwlth Pub Imp				X											X								X								S
H	Guam Govt. Str A. Book Entry			X												X							X										S
H	Weekly Ammonth NJ Utils				X											X																
H	New Jersey St. G.O. Rfdg Ser				X											X								X								
H	Massachusetts Bay Transn A				X											X								X								
H	Passaic Cnty NJ Utils			X												X							X									
H	Essex City NJ				X											X								X								
H	Univ PR Univ Revs SE				X											X								X								
H	Puerto Rico Commwlth Adega				X											X								X								P
H	Puerto Rico HSG Bk Fin			X												X							X									
H	N J St Tpke Auth				X											X								X								
H	Rutgers St Univ NJ				X											X								X								P
H	Pro Secon NJ Brd Ed CTF				X											X								X								
H	Hoboken Union City Weehawk			X												X							X									
H	Irvington NJ Pkg Auth				X											X								X								
H	Jersey City NJ SER			X												X							X									P
H	New Providence NJ Co			X												X						X										P
H	New Jersey Eco Dev Auth			X												X																
H	Israel State of		X													X						X										
H	"		X													X						X										
H	"		X													X						X										
H	"		X													X						X										
H	"		X													X						X										S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 7 of 12

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
DC Varon	ML Capital Fund	C	DIVIDENDS	III	P
"	ML Global Value	C	DIVIDENDS	III	P
"	ML Intl Equity	C	DIVIDENDS	III	S
* Filer	Merrill Lynch + Co	D	INTEREST	VI	S
"	Merrill Lynch CMA Fund	B	INTEREST	III	P/S
"	MM Gen. Motors	C	INTEREST	III	
"	Public Service Electric & Gas	C	INTEREST	III	
"	Salomon, Inc. Notes	C	INTEREST	III	
"	Gte North Inc. Debent.	C	INTEREST	III	P
"	American General Corp	B	INTEREST	III	
"	Eastern Camden Cnty NJ	C	INTEREST	III	P
"	NM Ford Motor Cdt	C	INTEREST	III	
"	125 Louis St. S. Hackensack NJ (55% owner)	C	INTEREST	VI	
* DC Varon	125 Louis St., S. Hackensack, NJ (")	D	INTEREST	VI	
	Merrill Lynch + Co	C	INTEREST	III	S
	Merrill Lynch Capital Fund	C	INTEREST	III	P
	Ford Holdings Inc. Notes	D	INTEREST	III	S
	Public Service Elect & Gas	D	INTEREST	III	
	NM Ford Motor Credit Co	C	INTEREST	III	
	Salomon Inc. Notes	C	INTEREST	III	
	Gte North Inc. Debentures	C	INTEREST	III	
	American General Corp Note	C	INTEREST	III	P
	Bear Stearns Company Note	C	INTEREST	III	P
	Somerset Cnty NJ	C	INTEREST	III	
* Filer	17793 Southwick Way Boca Raton, FLA (1/3 owner)	B	NONE	0	

* Filer is Trustee of his child's trust

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SCHEDULE IV — TRANSACTIONS

Name Steven A. Rothman | Page 8 of 12

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
DC Karen	Merrill Lynch + Co		X	✓	5/15/97	X									
"	American General Corp	X		✓	5/12/97	X									
"	ML Capital Fund	X		✓	"	X									
"	NM Gen Mtrs. Accpt		X	✓	8/26/97	X									
"	" "	X		✓	8/28/97	X									
"	Eastern Camden Cnty, NJ		X	✓	9/2/97	X									
"	ML Global Value (Equity Fund)	X		✓	9/8/97	X									
"	ML Intl Equity Fd		X	✓	9/18/97	X									
"	NM Ford Motor Crt.	X		✓	9/18/97		X								
DC John	Merrill Lynch + Co		X	✓	5/15/97	X									
"	American General Corp.	X		✓	5/12/97	X									
"	ML Capital Fund	X		✓	5/12/97	X									
"	Ford Holdings Inc.		X	✓	7/15/97	X									
"	Bear Stearns Company	X		✓	7/16/97	X									
I	Turbochef Inc	X		✓	2/7/97		X								
IRA	Consolidated Edison	X		✓	4/10/97	X									

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SCHEDULE IV — TRANSACTIONS

Name

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP (Example)	Mega Corporation Common Stock	X			10-12-97		X								
IRA	Merrill Lynch + Co NOTES		X		5/15/97	X									
"	American General Corp	X			5/12/97	X									
"	ML Basic Value Fund	X			5/12/97	X									
I	Washington State		X		3/3/97	X									
"	Jersey City NJ	X			3/12/97	X									
"	Israel State of		X		5/2/97	X									
"	Puerto Rico Comwlth Aqueduct	X			7/1/97		X								
"	Central Oklahoma Transp.		X		7/1/97	X									
"	Puerto Rico Comwlth Pub Imp		X		7/1/97		X								
"	Bankers Trust S+P MKt-L	X			7/28/97	X									
"	New Providence NJ G.O.	X			11/14/97	X									
"	Guam Govt Serv.		X		11/17/97	X									
"	Warren Cnty NJ Pollution Ctl		X		12/1/97		X								
"	Dreyfus NJ Money MKt Fund	X			12/1/97			X							

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
NONE												

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	The Aspen Institute	4/7-4/8/97	Wash. DC - Hershey, PA - Newark NJ	Y	Y	N	N
	American Israel Educa. Foundation	8/2-8/10/97	N.Y.C. - Israel - N.Y.C.	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Trustee	John Abraham Rothman 1989 Trust
Trustee	Karen Bena Rothman 1991 Trust
Partner	Twinks Company, LLC
Partner	Roan Partnership, L.P.
Twinks Company, LLC is a tenant in common in these orgs.:	Folman Company
	Rofol Company

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

STEVEN R. ROTHMAN
5TH DISTRICT, NEW JERSEY

1607 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, D.C. 20515
(202) 225-5061
FAX (202) 225-5851

DISTRICT OFFICES
25 MAIN STREET
COURT PLAZA
HACKENSACK, NJ 07601-7089
(201) 646-0808
FAX (201) 646-1944

130 CENTRAL AVENUE
JERSEY CITY, NJ 07306-2118
(201) 798-1366
FAX (201) 798-1725

Congress of the United States
House of Representatives
Washington, D.C. 20515

COMMITTEES
COMMITTEE ON THE JUDICIARY
SUBCOMMITTEE ON CRIME

COMMITTEE ON
INTERNATIONAL RELATIONS
SUBCOMMITTEE ON INTERNATIONAL
ECONOMIC POLICY AND TRADE

E-MAIL
steven.rothman@mail.house.gov

WEB SITE
http://www.house.gov/rothman

May, 1998

The Clerk, U.S. House of Representatives
Legislative Resource Center
B-106 Cannon HOB
Washington, DC 20515-6612

Dear Clerk:

Steven R. Rothman, the Congressman, his brother Arthur C. Rothman, 77 Dwight Place, Englewood, NJ 07631 and his sister, Susan E. Bogatin, 888 Park Avenue, Apt. B-6, NY, NY 10021 own certain real estate interests set forth at Schedule III, as well as certain money market funds and savings accounts, also forth at Schedule III. These three individuals operate their interests in the said properties and accounts doing business as "Twinks Company, LLC."

Twinks Company, LLC owns outright the following properties described in Schedule III: 250 North Street, Teterboro, NJ and 4 East Forest Avenue, Englewood, NJ.

The remaining properties listed in Schedule III are owned as follows:

With regard to 30 Ruta Court, S. Hackensack, NJ, the Congressman owns an 8.7% interest therein, his brother Arthur owns an 8.7% interest therein, his sister Susan Bogatin owns an 8.7% interest therein; the remaining interest is owned by Philip Rothman.

With regard to 538-540 Huyler Street, South Hackensack, NJ, this divided building is owned 50% by Twinks Company, LLC and 50% by an unrelated tenant in common. Twinks Company, LLC and this unrelated tenant in common operate the property under the business name of Folman Company, c/o Mark K. Follender, Esq., 1 Essex Street, Hackensack, NJ 07601.

With regard to 550 Huyler Street, South Hackensack, NJ and 425 Victoria Terrace, Ridgefield, NJ, Twinks Company, LLC has a 50% interest therein. The other 50% interest therein is owned by an unrelated tenant in common. Twinks Company, LLC and the unrelated tenant in common operate the properties under the business name of Folman Company, c/o Mark K. Follender, Esq. (see above address).

With regard to 125 Louis Street, South Hackensack, NJ, 50% of the ownership thereof is held by the Roan Partnership, Ltd., c/o Steven R. Rothman, P.O. Box 650, Fair Lawn, NJ 07410. The Roan Partnership, Ltd. is held as follows: 5.7% interest held by Steven R. Rothman, 5.7% by Arthur C. Rothman, 5.7% by Susan E. Bogatin, 5.5% respectively, by the trust for the following children mentioned above: John Abraham Rothman, Karen Bena Rothman, Benjamin Rothman, Jacob Rothman, Rachel Bogatin, and Rebecca Bogatin. The other 50% ownership interest therein is held by an unrelated tenant in common. Roan Partnership, Ltd. and the unrelated tenant in common operate the property at 125 Louis Street, South Hackensack, NJ as Rofol Company, c/o Mark K. Follender, Esq. (see above address).

With regard to 150 Louis Street, South Hackensack, NJ, Twinks Company, LLC owns a 41% interest therein. People other than the Congressman own the remaining 59% interest therein. Twinks Company and the said other people operate the property at 150 Louis Street, South Hackensack, NJ as Folman Company, c/o Mark K. Follender, Esq. (see above address).

My brother, sister and I own a house (now used by our parents) in Boca Raton, Florida at 17793 Southwick Way; my one-third ownership therein is valued at approximately $103,000.00. There is no income derived therefrom.

All figures relate to year-end 1997.

Very truly yours,

STEVEN R. ROTHMAN, M.C.

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BERRY, VERDUIN & KOCH LLC

CERTIFIED PUBLIC ACCOUNTANTS

HAND DELIVERED

May 8, 1998

Congresswoman Margaret Roukema
22-44 Rayburn
House of Building
Washington, D.C. 20515

We have compiled the Financial Disclosure Statement for the Honorable Margaret Roukema for the year ended December 31, 1997 included in the accompanying prescribed form in accordance with statements on standards for accounting and review services issued by the American Institute of Certified Public Accountants.

Our compilation was limited to presenting in the form prescribed by the United States House of Representatives information that is the representation of the Honorable Margaret Roukema. We have not audited or reviewed the financial statements referred to above and, accordingly, do not express an opinion or any other form of assurance on them.

This financial statement is presented in accordance with the requirements of the United States House of Representatives, which differ from generally accepted accounting principles. Accordingly, these financial statements are not designed for those who are not informed about such differences.

Berry Verduin & Koch

BERRY, VERDUIN & KOCH, LLC
Certified Public Accountants

190 FRANKLIN AVENUE RIDGEWOOD NEW JERSEY 07450
TEL 201-444-8800 FAX 201-444-0299

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98 MAY 14 AM 11:30

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

HAND DELIVERED
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Margaret Roukema
(Full Name)

249 Greenway Road
(Mailing Address)

Daytime Telephone 202-225-4465

Ridgewood, NJ 07450

Filer Status	[x] Member of the U.S. House of Representatives	State NJ District 5	[ ] Officer or Employee	Employing Office
Report Type	[x] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [x]	No [ ]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [x]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [x]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ] No [x]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [x]	No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [x] No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [x]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [x]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [x]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [x]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [x]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Marge Roukema, M.C.

DATE (Month/Day/Year): May 14, 1998

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Name Margaret Roukema	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Medical Practice	Spouse Schedule C	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Margaret Roukema

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP, DC, JT	*Examples*																														
SP	Mega Corp. Stock					X								X										X							P
DC	Simon & Schuster			Indefinite																Royalties								X			
JT	1st Bank of Paducah, KY accounts						X									X									X						
SP	Sublet Office Space	X													X										X						
SP	Haworth Press			INDEFINITE																Royalties				X							
	Ridgewood Savings & Loan			X												X							X								
	Bank of New York			X												X						X									
	Congressional Federal Credit Union			X												X						X									
	Merck & Co				X									X									X								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Margaret Roukema

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Bristol Myers Squibb				X									X									X									
	Intel Corp					X								X								X										
	Proctor & Gamble				X									X									X									
	Catepillar Inc.				X									X									X									
	Motorola Inc.			X										X								X										
	Donaldson Lufkin & Jenrette-Cash			X										X								X										
JT	Howard Savings Bank - VT		X													X					X											
	Bank of NY IRA			X												X						X										
S	Bank of NY IRA			X												X						X										
JT	PSE&G	X												X								X										
S	Univ of Med & Dentistry-TIAA/CREF								X											Pension							X	(Annualized)			Annuitized
S	Keough Plan-Prudential Securities:																															
S	AIM - Weingarten Fund				X									X			X								X							
S	American Express				X									X									X									
S	Becton Dickinson				X									X									X									
S	Blackrock 1998 Term Trust				X									X									X									
S	Blackrock Strategic Term Trust				X									X									X									
S	Coca Cola					X								X									X									
S	Lincoln Ntl CV Sec/F				X									X											X							
S	Prudential Equity Income B				X									X			X								X							
S	Prudential Moneymart Assets				X									X										X								
S	PSE&G			X										X									X									

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3347

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Margaret Roukema

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	BLOCK E Transaction P S E
S	Zweig Apprec Fund A				X									X			X							X								
S	Gillette Company				X									X								X										
S	TSL Holdings		X											X							X											
S	Motorola Inc.				X									X								X										
S	Prudential Acquisition Fund LP	X																		Partner Distrib.			X									
S	Putnam New Opportunities				X												X						X									
S	Prime Plus Realty Ptrs LP	X																		Partner Distrib.	X											
	Thrift Savings Plan				X											X								X								

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
Director	Bread for the World

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 4L 260 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
98 APR 22 PM 2 24
OFFICE OF THE CLERK
INSIDE MAIL (3)
(Office Use Only)

Lucille Roybal-Allard
(Full Name)

2435 Rayburn House Office Building
(Mailing Address)

Washington, DC 20515 — Daytime Telephone (202) 225-1766

Filer Status	[X] Member of the U S House of Representatives — State CA District 33	[ ] Officer or Employee — Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U S C app 4, §104 and 18 U S C §1001)

SIGNATURE OF REPORTING INDIVIDUAL Lucille Roybal-Allard

DATE (Month/Day/Year) 4/22/98

3350

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Allard and Associates	Spouse's consulting fees	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Lucille Roybal Allard

Page 3 of 3

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
SP	Bank of America (IRA) Monterey Park, CA				X											X							X									
SP	Navy Federal C.U. Washington, DC					X										X							X									
JT	Congressional F.C.U. Washington, DC			X												X							X									
SP	United Way Credit U. Alexandria, VA		X														X					X										
SP	Wells Fargo Bank Monterey Park, CA			X												X							X									

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This page was left out of my Financial Disclosure statement Please add it.

Thank you for your assistance.

Lucille Roybal-Allard

(2)

Name Lucille Roybal-Allard | Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute	Mar. 7-9	Wash - Hershey - Wash	Y	Y	Yes	No

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 15 PM 4:19

EDWARD RANDALL ROYCE
(Full Name)

1133 Longworth House Office Building
(Mailing Address)

202.225.4111
Daytime Telephone

Washington, D. C. 20515

HAND DELIVERED
(Office Use Only)

(6)

Filer Status	[X] Member of the U S House of Representatives — State CA District 39th	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U S C app 4, §104 and 18 U S C §1001)

SIGNATURE OF REPORTING INDIVIDUAL Edward R Royce

DATE (Month/Day/Year) 5/15/98

3355

Name	EDWARD RANDALL ROYCE	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Choice Hotels Internacional	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name EDWARD RANDALL ROYCE

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B												Block C							Block D											Block E
		A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples* SP Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
SP	Micron Technology, Spouse IRA	X															X							X								S
SP	Best Products Co., "	X															X				X											S
SP	Alger Mid-Cap, Spouse's IRA	X															X					X										S
SP	MFS Emerging Growth, "	X															X					X										S
SP	Best Products Co., "	X															X				X											S
SP	Western Digital, "	X															X						X									S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name EDWARD RANDALL ROYCE

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1 000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
SP	Western Digital, Spouse's IRA	X												X							X											S
SP	Procter & Gamble, "				X									X								X										P
SP	Bridgestreet ACCO, "		X											X							X											P
SP	Choice Hotels Int., "		X											X							X											P
SP	Coca-Cola Co., Spouse'sIRA		X											X								X										P
SP	Duke Energy Corp., "		X											X								X										P
SP	Hartford Lie, Inc., "		X											X								X										P
SP	Intel Corp., Spouse's IRA		X											X								X										P
SP	Kimberly Clark Co., "		X											X								X										P
SP	La Quinta Inns., "		X											X								X										P
SP	Smarttalk, "	X															X						X									P & S
SP	Apple Computer Co., "				X									X							X											
SP	Donna Karan, "		X											X							X											
SP	Merck "		X											X								X										
SP	Sunburst "		X											X							X											P
SP	Cash in Spouse's IRA			X												X						X										

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	Bridgestreet ACCO, Spouse 's IRA	X			10.28.97	X									
SP	Choice Hotels International, Spouse's IRA	X			06.09.97	X									
SP	Coca-Cola Company, Spouse's IRA	X			08.18.98	X									
SP	Duke Energy Corp., Spouse's IRA	X			10.08.97	X									
SP	Hartford Life Inc., Spouse's IRA	X			06.09.97	X									
SP	Intel Corp., Spouse's IRA	X			07.23.97	X									
SP	Kimberly Clark Company, Spouse's IRA	X			06.09.97	X									
SP	La Quinta Inns, Inc., Spouse's IRA	X			10.08.97	X									
SP	Procter & Gamble, Spouse's IRA	X			06.09.97		X								
SP	Best Products Company, Spouse's IRA		X		07.09.97	-0-									
SP	Western Digital, Spouse's IRA		X		01.05.97	X									
SP	Western Digital, Spouse's IRA		X		01.05.97	X									
SP	Micron Technology, Spouse's IRA		X		01.05.97	X									
SP	Best Products Company, Spouse's IRA		X		07.09.97	X									
SP	Alger Mid-Cap, Spouse's IRA		X		06.09.97	X									
SP	Smarttalk, Spouse's IRA	X			06.09.97	X									

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3359

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	Smarttalk, Spouse's IRA		X		10.08.97	X									
SP	MFS Emerging Growth, Spouse's IRA		X		06.09.97	X									
SP	Sunburst, Spouse's IRA	X			06.09.97	X									

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
98 MAY 14 PM 3:32

Bobby Lee Rush
(Full Name)

131 Cannon HOB
(Mailing Address)

202/225-4372
Daytime Telephone

Washington, D.C. 20515

HAND DELIVERED
(Office Use Only)

4

Filer Status	[X] Member of the U S House of Representatives	State IL District 01	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, §104 and 18 U S C §1001)

SIGNATURE OF REPORTING INDIVIDUAL Bobby L Rush

DATE (Month/Day/Year) 5/14/98

3361

Name Bobby Lee Rush	Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Citizens for Rush	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	National Cable Television Assn.	3/14-3/17	Chicago -New Orleans - Chicago	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Member, Board of Directors	Ada S. McKinley Community Services

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

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MCL (Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

James R. Ryun (Full Name)

16718 13th St. Lawrence, KS 66044 (Mailing Address)

202-225-6601 Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State Kansas District 2	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [X]	No [ ]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

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SIGNATURE OF REPORTING INDIVIDUAL James R. Ryun

DATE (Month/Day/Year) 5/14/98

3365

Name	James R. Ryun	Page 2 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Re Sound, Inc.	Autograph Session	$10,000

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
Examples XYZ Magazine	Article	Aug. 13, 1997	$500
Hillsdale College	Speech	February 2, 1997	$2,000

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Name James R. Ryun | Page 4 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Block A	Block B: None (A)	$1 – $1,000 (B)	$1,001 – $15,000 (C)	$15,001 – $50,000 (C)	$50,001 – $100,000 (E)	$100,001 – $250,000 (F)	$250,001 – $500,000 (G)	$500,001 – $1,000,000 (H)	$1,000,001 – $5,000,000 (I)	$5,000,001 – $25,000,000 (J)	$25,000,001 – $50,000,000 (K)	Over $50,000,000 (L)	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	Block D: None (I)	$1 – $200 (II)	$201 – $1,000 (III)	$1,001 – $2,500 (IV)	$2,501 – $5,000 (V)	$5,001 – $15,000 (VI)	$15,001 – $50,000 (VII)	$50,001 – $100,000 (VIII)	$100,001 – $1,000,000 (IX)	$1,000,001 – $5,000,000 (X)	Over $5,000,000 (XI)	Block E
SP	Mega Corp. Stock					X								X																		P
DC	Examples: Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Frank Russell Investment Co. c/o Ron Blue & Co. (SEP-IRA)						X							X		X	X										X					

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name James R. Ryun

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out		Type of Transaction			Date	Amount of Transaction										
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	none														

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	none											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
Dr. James Leininger, San Antonio, TX	Transportation: shared 1/3 of the space of a rental vehicle during a five-day vacation. (Approximate five-day value of 1/3 of the vehicle is $417. Determination on personal friendship received from Committee on Standards)	$417

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Give Kids the World (Disney)	Jan 1-5	Wash, DC - Orlando - Wash, DC	Y	Y	Y	N
	Re Sound, Inc	June 12-15	Wash DC - Phoenix - ~~Wash DC~~ KC	Y	Y	Y	N
			KC - Phoenix - KC (Anne Ryun)	Y	Y	Y	N
	American-Israeli Education Foundation	Aug 4-18	Wash, DC - Jerusalem - Wash DC	Y	Y	Y	Y

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
President	Jim Ryun Sports Camps, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	None	

Use additional sheets if more space is required.

Ronald Blue & Co.

QUARTERLY INVESTMENT REPORT

JAMES R RYUN SSBT IRA

87106011

December 31, 1997

PORTFOLIO POSITION

Security	Quantity	Price	Market Value	Pct. Assets
U.S. EQUITIES				
Equity I Fund	679.253	30.51	20,724.01	16.7
Equity II Fund	175.375	32.96	5,780.36	4.6
Equity Q Fund	578.826	35.90	20,779.85	16.7
			47,284.22	38.0
INT'L EQUITIES				
Emerging Markets Fund	313.943	11.79	3,701.39	3.0
International Fund	481.330	34.60	16,654.02	13.4
			20,355.41	16.4
BONDS				
Fixed I Fund	769.254	21.51	16,546.65	13.3
Fixed II Fund	546.630	18.35	10,030.66	8.1
Fixed III Fund	1,513.413	10.42	15,769.76	12.7
			42,347.08	34.1
REAL ESTATE				
Real Estate Securities Fund	415.717	30.86	12,829.03	10.3
CASH & EQUIV.				
Gov't Money Market Fund	1,534.88	1.00	1,534.88	1.2
TOTAL PORTFOLIO			124,350.61	100.0

PORTFOLIO CHANGE

	Current Quarter	Year to Date	Since Inception
Beginning Portfolio Value	125,119.28	106,705.28	0.00
Contributions	0.00	2,000.00	92,137.75
Withdrawals	0.00	0.00	0.00
Appreciation/Depreciation less fees	(768.67)	15,645.34	32,212.86
Portfolio Value on 12-31-97	**124,350.61**	**124,350.61**	**124,350.61**

PORTFOLIO PERFORMANCE

Asset Class	Current Quarter	Year to Date	Inception to Date
TOTAL PORTFOLIO	(0.35)%	15.92%	14.10%
U.S. EQUITIES	1.02%	32.13%	27.99%
INT'L EQUITIES	(9.68)%	0.07%	5.15%
BONDS	2.40%	8.64%	7.52%
REAL ESTATE	2.05%	18.87%	25.56%
CASH & EQUIV.	1.37%	5.58%	5.67%

Portfolio Start Date: 05-23-95
Annualized inception to date returns are calculated from the first full month after start date.
Presented Gross of Advisory Management Fees
Returns for periods of less than one year are not annualized.

RBC

RONALD BLUE & CO.

LEGISLATIVE RESOURCE CENTER
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JIM RYUN
2D DISTRICT, KANSAS

COMMITTEES
BANKING AND FINANCIAL SERVICES
NATIONAL SECURITY
SMALL BUSINESS

Congress of the United States
House of Representatives
Washington, DC 20515–1602

WASHINGTON OFFICE
511 CANNON BUILDING
WASHINGTON, DC 20515–1602
(202) 225–6601
FAX: (202) 225–7986

DISTRICT OFFICES
820 QUINCY, SUITE 100
TOPEKA, KS 66612
(913) 232-4500
FAX: (913) 232–4512

THE STILWELL HOTEL, SUITE A
701 NORTH BROADWAY
PITTSBURG, KS 66762
(316) 232–6100
FAX: (316) 232–6105

May 13, 1998

Ms. Robin Carle, Clerk of the House
U.S. House of Representatives
Records and Registration
B106 Cannon Building
Washington, D.C. 20515

Dear Ms. Carle:

I hereby request that Schedule I of my 1996 Financial Disclosure Statement be amended to increase my reported earned income from Jim Ryun Sports Camps, Inc. by $5,955.60. This amount reflects additional salary earned in 1996.

Sincerely,

Jim Ryun
Member of Congress

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98 MAY 13 PM 3:02

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

MARTIN OLAV SABO
(Full Name)

2336 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone 202-225-4755

(4)

MC HAND DELIVERED
(Office Use Only)

Filer Status	[X] Member of the U S House of Representatives	State MN District 05	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
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IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

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SIGNATURE OF REPORTING INDIVIDUAL Martin O. Sabo

DATE (Month/Day/Year) 5-12-98

3375

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Lights Fantastic, Inc 6825 Tenyson Drive, McLean, VA	Spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None"	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP, DC, JT	*Examples* SP Mega Corp Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	State of MN Retirement Plan	$1,001 - $15,000	Interest	None	NA
	Lutheran Brotherhood (IRA)	$1,001 - $15,000	Interest	None	NA
	Farm Land - North Dakota	$50,001 - $100,000	Dividends	$2,501 - $5,000	NA
	Mosiac (formerly Gov. Investors)	$1,001 - $15,000	Interest	$201 - $1,000	NA
	Congressional Federal Credit Union	$15,001 - $50,000	Interest	$1,001 - $2,500	NA
	IDS Mutual Fund	$1,001 - $15,000	Interest	$201 - $1,000	NA
SP	Northern States Power (stock)	$1,001 - $15,000	Dividends	$201 - $1,000	NA
SP	International Savings	$15,001 - $50,000	Interest	$1,001 - $2,500	NA

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	Richfield Bank	$15,001 - $50,000	Interest	$1,001 - $2,500	NA
SP	Keystone Tax Free Fund	$15,001 - $50,000	Interest	$1,001 - $2,500	NA
SP	Mass Mutual	$1,001 - $15,000	Interest	$1 - $200	NA
SP	Paine Weber Cash Fund	$1,001 - $15,000	Interest	$201 - $1,000	NA
SP	Paine Weber (IRA)	$15,001 - $50,000	NA	None	NA

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
98 MAY 15 AM 10: 15

Matthew James Salmon
(Full Name)

2739 E. Nance Street
(Mailing Address)

Mesa AZ 85213

Daytime Telephone: (202) 225-2635

(Office Use Only) 4

Filer Status	[X] Member of the U.S. House of Representatives	State: AZ District: 01	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS-Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C 1001).

SIGNATURE OF REPORTING INDIVIDUAL — Matt Salmon

DATE (Month/Day/Year) 5/15/98

UNITED STATES HOUSE OF REPRESENTATIVES

Form A
For use by Members, officers, and employees

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Matt Salmon for Congress	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

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SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see instructions, pages 13-14.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1994	$2,000
	XYZ Magazine	Article	Aug. 13, 1994	$500
	St. Johns University, Queens, N.Y.	Speech	10/04/98	$1,000.00

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
CSIS	Jan 21-30, 1997	DC-Beijing/Hong Kong - Phoenix	Y	Y	Y	No
Drexel University	June 27, 1997	DC-Philadelphia - DC	N	Y	Y	No
CSIS	June 28 - July 3, 1997	DC-Hong Kong - Phoenix	Y	Y	Y	No
St. Johns University	Oct. 4-5, 1997	DC-NYC-DC	Y	Y	N	No
Business Gov't Relations Council	Oct. 16-19, 1997	DC-W. VA- DC	Y	Y	Y	No

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

LORETTA SANCHEZ
(Full Name)

1529 LONGWORTH
(Mailing Address)

WASHINGTON D.C. 20515

(202) 225-2965
Daytime Telephone

HAND DELIVERED
(Office Use Only)

(10)

Filer Status	[X] Member of the U.S. House of Representatives	State CA District 46	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [X] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS— Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION —Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Loretta Sanchez

DATE (Month/Day/Year): 5-14-98

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Name LORETTA SANCHEZ	Page 1 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	YAEGER CAPITAL MARKETS, INC.	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500
	-NONE-			

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Name LORETTA SANCHEZ

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Examples	A None	B $1 – $1,000	C $1,001 – $15,000	E $15,001 – $50,000	F $50,001 – $100,000	G $100,001 – $250,000	H $250,001 – $500,000	I $500,001 – $1,000,000	J $1,000,001 – $5,000,000	K $5,000,001 – $25,000,000	L $25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp Stock				X									X																		
DC	Simon & Schuster		Indefinite																	Royalties								X				
JT	1st Bank of Paducah, KY accounts					X										X									X							
JT	AMIGA ADVISORS, INC. STOCK				X																X											P
JT	O.C. TEACHERS FEDERAL CREDIT UNION				X											X							X									
	- SAVINGS & CHECKING																															
SP	AMERICAN LIFE ANNUITY						X									X										X						
SP	JIM DAVIS FARMS NOTE						X									X									X							
JT	CROWELL, WEEDON - SAVINGS				X											X								X								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name LORETTA SANCHEZ

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
JT	CROWELL, WEEDON - IRA				X																										
	- MORGAN STANLEY'S EMERGING				X									X		X								X							
JT	CROWELL, WEEDON					X																									
	- EPITOPE, INC			X													X				X										S
	- GENERAL MOTORS CORP			X										X			X					X									
	- INTEL CORP			X										X			X					X									
	- ORBITAL SCIENCES			X										X			X				X										I
	- PHILIPS ELECT. N.V.			X										X			X					X									S
	- SIGNAL HILL REG. BOND				X											X								X							
	- AIRTOUCH COMMUN. INC			X										X							X										P
	- RAYTHEON CO CLASS A		X											X			X				X										P
	- VANSTAR CORP.			X										X			X				X										P
JT	YAEGER CAPITAL MARKETS, INC				X																										
	- INTEL CORP.				X									X			X					X									
	- LACTFS BOND			X												X							X								I
	- TERADYNE INC			X										X			X				X										P
JT	AMERICAN FUNDS - IRA																														
	- CAPITAL GUARDIAN - New Perp.			X										X			X				X										
	- New Economy Fund			X										X			X				X										
	- Euro Pac. Growth			X										X			X				X										
	- Growth Fund			X										X			X				X										
JT	Crowell Weedon - Savings			X												X						X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Loretta Sanchez

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
SP	CRUWELL, WEEDON	E X			
	- GTE CORP	C X	DIVIDENDS X; CAPITAL GAINS X	II X	
	- GENERAL MOTORS CORP	C X	DIVIDENDS X; CAPITAL GAINS X	III X	
	- MORGAN STANLEY EMERG	C X	DIVIDENDS X; CAPITAL GAINS X	V X	
	- MOTOROLA	C X	DIVIDENDS X; CAPITAL GAINS X	II X	S
	- PEPSICO	C X	DIVIDENDS X; CAPITAL GAINS X	II X	
	- SANTEFE INTL CORP	C X	DIVIDENDS X; CAPITAL GAINS X	I X	P
	- TYCO INTERNATIONAL CORP NEW	C X	DIVIDENDS X; CAPITAL GAINS X	I X	P
	- RAYTHEON CO CLASS A	B X	DIVIDENDS X; CAPITAL GAINS X	I X	P
	- VANSTAR CORP.	C X	DIVIDENDS X; CAPITAL GAINS X	I X	P
SP	CRUWELL WEEDON	F X			
	- CASH	F X	INTEREST X	II X	
	- AURA SYSTEMS INC	C X	DIVIDENDS X; CAPITAL GAINS X	I X	P
JT	CONGRESSIONAL CREDIT UNION				
	- CASH - CHECKING	B X	INTEREST X	II X	I

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SCHEDULE IV — TRANSACTIONS

Name LORETTA SANCHEZ

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
JT	EPITOPE, INC.		X		08-01-97	X									
JT	PHILLIPS ELECT. N.V.		X		07-01-97	X									
JT	AIRTOUCH COMMUN. INC.	X			08-05-97	X									
JT	RAYTHEON CO. CLASS A	X			12-22-97	under $200, dividend from GM stock									
JT	VANSTAR CORP.	X			06-02-97	X									
JT	TERADYNE INC.	X			12-05-97	X									
SP	MOTOROLA		X		05-07-97	X									
SP	SANTE FE INTL. CORP.	X			11-25-97	X									
SP	IMMUNEX CORP. NEW	X			12-01-97	X									
SP	RAYTHEON CO CLASS A	X			12-22-97	under $200, dividend from GM stock									
SP	VANSTAR CORP.	X			06-02-97	X									
SP	AURA SYSTEMS INC.	X			12-10-97	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	- NONE -											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
- NONE -		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Nat'l Foundation for Women Legislators	Aug 29-Sep. 2	Los Angeles-Maui Hawaii-Los Angeles	Y	N	Y	4 Days

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	KINDERCAMINATA, INC
BOARD MEMBER	PROVIDENCE SPEECH AND HEARING CENTER
ADVISORY BOARD MEMBER	PEPPERDINE UNIVERSITY

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment; a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	— NONE —	

GPO 1998 46-260 (mar)

Use additional sheets if more space is required.

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3393

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Bernard Sanders
(Full Name)

2202 Rayburn House Office Building
(Mailing Address)

Washington, D.C. 20515

Daytime Telephone: 202-225-4115

Filer Status	[X] Member of the U.S. House of Representatives	State Vermont District At-Large	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [ ]	No [X]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions. (*See* 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Bernard Sanders

DATE (Month/Day/Year): 5/14/98

Name Bernard Sanders	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1 000
	Ontario County Board of Education	Spouse Salary	NA
	Goddard College -- Provost/Interim President	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Bernard Sanders

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Mega Corp. Stock					X								X										X								P
DC	*Examples* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
	Wright Patman CFCU Washington, D.C. Checking Account			X										X								X										
	Chittenden Bank Burlington, VT Checking Account			X												X						X										
	TIAA-CREF Retirement Account 730 3rd. Ave. NY,NY																				NA											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Bernard Sanders

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Verso Publishing Co NY, NY (Author's Contract with publisher)	X																														

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3396

Name	Bernard Sanders	Page 5 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St., Dover, Del*				X						
	Wright Patman CFCU Washington, D.C.	Education Loans, Personal Loan, Credit Card		X								
	Vermont Student Assistance Burlington, VT	Education Loans		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
Socialist Scholars Conference	Mar.30--31	Burlington, VT -NYC-Burlington, VT	N	N	N	N
AFL-CIO	Oct. 24-25	Washington, DC-ElPaso-Washington, DC	Y	Y	N	N
National Gulf War Resource Center	Nov. 8	Washington, DC-Atlanta Washington, DC	N	N	N	N
Committee for Economic Security	Nov. 22	Burlington, VT-Boston-Burlington, VT	N	N	N	N
Verso Publishing Co.	June 26-30	Washington, DC-San Francisco, Washington, DC	Y	Y	Y	Y 2 days
Verso Publishing Co.	Oct 2-4	Burlington, VT-NYC-Burlington, VT	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

MAX A. SANDLIN, JR
(Full Name)

500 MILLER DRIVE
(Mailing Address)

MARSHALL TX 75670

Daytime Telephone: (202) 225-3035

Filer Status	[X] Member of the U.S. House of Representatives	State TX District 01	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule I** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [X] No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS-Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL — **DATE** (Month/Day/Year)

3399

Name MAX A. SANDLIN, JR | Page ___ of ___

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Legal fees, Sandlin & Buckner, Max A. Sandlin, Jr (fees earned in 1996 but paid in 1997)	Draws, fees	$71,122.50

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page of

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package For further information, see instructions, pages 13-14

Source	Activity	Date	Amount
Examples Association of American Associations, Wash , D C	Speech	Feb 2, 1994	$2,000
XYZ Magazine	Article	Aug 13, 1994	$500

Name MAX A. SANDLIN, JR. | Page of

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source**	BLOCK B **Value of Asset**	BLOCK C **Type of Income**	BLOCK D **Amount of Income**	BLOCK E **Transaction**
Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see instructions, pages 14&20. SP Mega Corp. Stock DC *Examples* SP 123 Main St., Dover, De. JT 1st Bank of Paducah, KY accounts	If other than one of the listed categories, specify the type of income by writing a brief description in this block. If an asset was sold and is included only because it generated income, the value should be "None."	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
East Texas Fuels, Inc., Stock	$500,001 - $1,000,000	Sub S	$100,001 - $1,000,000	
Howell & Sandlin, Inc., Stock	$5,000,001 - $25,000,000	Sub S	$15,001 - $50,000	
Working Interest (Natural gas wells)	$15,001 - $50,000	Working Interest Income	$15,001 - $50,000	
Edward D. Jones Account	$1,001 - $15,000	Dividends	$1 - $200	
Texas County and District Retirement	$50,001 - $100,000	n/a	None	
Wright Patman Federal Credit Union	$15,001 - $50,000	Interest	$201 - $1,000	
First Service Bank Accounts - CD	$1,001 - $15,000	Interest	$201 - $1,000	

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Oil and gas royalties	$1,001 - $15,000	Royalty	$201 - $1,000	
Sandlin and Buckner office building, Marshall, Texas (own one-half)	$100,001 - $250,000	n/a	None	

Name MAX A SANDLIN, JR	Page _ of

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Edward D. Jones IRA Account	Sold	02/21/97	$50,001 - $100,000

Name MAX A. SANDLIN, JR	Page of

SCHEDULE V -- LIABILITIES

Report liabilities of over $10 000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.	$100,001 - $250,000
	First Service Bank	Personal Loan	$15,001 - $50,000
	East Texas National Bank	Personal Loan	$10,001 - $15,000
	MBNA Mastercard	Credit Card	$10,001 - $15,000
	East Texas National Bank	Campaign Loan	$500,001 - $1,000,000

Name	Page of

SCHEDULE VI -- GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold

Note: The gift rule (House Rule 52 in the 104th Congress, renumbered as House Rule 51 of the 105th Congress) prohibits gifts except as specifically provided in the rule

For further information, see Instructions, pages 22-24

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270

Name MAX A. SANDLIN, JR | Page of

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. **Exclude**: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Bipartisan Congressional Retreat, The Aspen Institute	03/7/97-03/9/97	Washington, DC-Hershey, PA-Washington, DC	Y	Y	Y	N

Name MAX A SANDLIN, JR	Page ___ of ___

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
President	East Texas Fuels, Inc
Vice-President	Howell & Sandlin, Inc

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26-27

Date	Parties To	Terms of Agreement
1996	Texas County and District Retirement System, Max A. Sandlin, Jr.	(Former employee - interest in retirement plan)
1996	Sandlin & Buckner, Max A Sandlin, Jr	Interest in fees earned prior to 1996 General election

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Marshall C. Sanford
(Full Name)

1223 Longworth Building
(Mailing Address)

202-225-3176
Daytime Telephone

Washington, DC 20515

Filer Status	[X] Member of the U.S. House of Representatives	State SC District 1	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Marshall C. Sanford

DATE (Month/Day/Year): 5/15/98

3410

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Norton & Sanford	Management Fee	$2,400

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Marshall C. Sanford

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
DC	Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
SP	Nations Securities:																															Transfer
	Nations Prime MMT													X										X								to GS
	Emerson Electric													X												X						Transfer to GS
	Emerson Electric																X											X				S
	Exon Electronics																				X											Transfer to GS
	Rodim Entertainment																				X											Transfer to GS

For additional assets and unearned income, use next page.

Continuation Sheet (if needed)

Name Marshall C. Sanford

Page 4 of 11

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Nations Securities (cont.)																														
	Reading Entertainment																X									X					S
	IBM													X			X									X					S
	Snap-On													X			X								X						S
	Culligan WaterTech																X								X						S
	Samsonite																X					X									S
SP	Goldman Sachs:																														
	Cash Acct.							X								X								X							Transferred from NS
	Emerson Electric						X														X										Transferred from NS
	Esco Electronics			X																	X										Transferred from NS
	Reading Entertainment							X													X										Transferred from NS
SP	Nations Securities (IRA)																				N/A-IRA										Transferred to GS
SP	Nations Securites MMKI(IRA)																				N/A-IRA										Transferred to GS
SP	Goldman Sachs (IRA)						X														N/A-IRA										Transferred from NS
	Nations Securities (IRA)			X																	N/A-IRA										
SP	First Federal of Chas.			X												X						X									
JT	Bank of SC			X																		X									
JT	Nations Securities:																														
	Motor Car Parts																X							X							S
	US Master Holdings																				X										Transferred to GS
	Nations Bond Fund															X									X						S
	Nations Securities MMKT													X											X						Transferred to GS

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Marshall C. Sanford

Page 5 of 11

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Nations Securities (Continued)																															
	PA Merchant Group																				X											Transferred to GS
JT	Goldman Sachs:																															
	Cash				X																	X										Transferred from NS
	US Masters Holdings					X															X											Transferred from NS
	(includes PA Merchant)																															
	Southern Company		X											X								X										
SP	Sullivan Family Trust					X								X		X									X							
JT	NationsBank Checking			X												X							X									
	NationsBank Checking			X												X							X									
	Congressional Credit Union			X												X							X									
DC	Nations Securities:																															
	Nations Sec. MMKT-A															X								X								Transferred to GS
	Reading Entertainment																				X											Transferred to GS
DC	Goldman Sachs-Cash						X									X							X									Transferred from NS
DC	Nations Securities-Trust Acct.													X											X							Transferred to GS
DC	Goldman Sachs-Trust:																															
	Emerson Electric					X															X											Transferred from NS
	Reading Entertainment					X															X											Transferred from NS
	Loblolly Pines Dev. (S-Corp., FL					X									X	X											X					
SP	Loblolly Pines Dev. (S-Corp., FL							X							X	X													X			
DC	Loblolly Pines Dev. (S. Corp., FL						X								X	X											X					

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Marshall C. Sanford

Page 6 of 11

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	BBV Co. (S-Corp. Fl)				X									X												X						
DC	BBV Co. (S-Corp. Fl)					X								X													X					
	Combahee Partners LP				X															Partnership						X						
	Talley Tract Partnership							X													X											
	Campaign Loan					X															X											
	Land-Beaufort County, SC									X					X		X									X						
	(Timber only sold)																															
	Coosaw Plantation Partnership			X																	X											
	Kings Plaza (Retail-N. Chas.,SC				X										X											X						
	Blind John LLC (Commercial				X										X									X								
	Rental, Savannah Hwy. Chas,SC																															
	Valois Corp-Installment sale																X									X						
	16 Wentworth St., Chas. SC								X						X											X						
	(Personal residence, rented																															
	3½ months)																															

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SCHEDULE IV — TRANSACTIONS

Name Marshall C. Sanford

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
	Valois Corp. - S. Corp (balance)		X		4-21-97		X								
SP	Emerson Electric		X		8-11-97			X							
SP	Reading Entertainment		X		12-05-97		X								
SP	IBM		X		8-06-97		X								
SP	Snap - On		X		8-01-97	X									
SP	Culligan Water Tech		X		8-11-97		X								
SP	Samsonite		X		8-11-97		X								
	Timber		X		1-20-97 12-22-97	X									
	Motor car parts		X		1-09-97		X								
	IBM	X	X		May-Jun 97 May-Jun 97					X	X				
SP	Florida Club (partnership interest)		X		6-05-97	X									
DC	Florida Club (partnership interest)		X		6-05-97		X								
	Nations SC Munibond Fund Inv. A	X			6-05-97				X						
	Nations SC Munibond Fund Inv. B		X		6-12-97				X						
	Nations SC Munibond Fund Inv. B		X		Jan 97 6-02-97		X	X							
	Nations SC Munibond Fund Inv. B	X			Reinvestd Div Jan-May 97	X									
	Nations SC Munibond Fund Inv. B	X			5-20-97		X								

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SCHEDULE IV — TRANSACTIONS

Name Marshall C. Sanford

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Loblolly Pine Dev. (S. Corp)	See Note													
SP	Loblolly Pine Dev. (S. Corp.)	See Note													
DC	Loblolly Pine Dev. (S. Corp.)	See Note													
	Note: Shares in this Corp.														
	were increased through gifts														
	from Congressman's father-in-law														
	on 12-31-97-no cash transaction														

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SCHEDULE V — LIABILITIES

Name Marshall C. Sanford | Page 9 of 11

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	Nations Banc Mortgage Corp.	Mortgage on 16 Wentworth Street Charleston, SC (Personal residence- included because it was rented 3 ½ months)					X					

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
American Enterprise Institute (Conference)	June 20-23	Wash.,DC-Beaver Creek, CO-Wash.DC	Y	Y	N	N
The Human Rights Project (Fact-Finding)	Aug.24-31	Chas., SC-Cuba-Chas., SC	Y	Y	N	N
National Security Caucus Foundation (Fact-Finding)	Jan.9-15	Wash.,DC-Bosnia-Croatia-Wash.DC	Y	Y	N	N
The Human Rights Project (Fact-Finding)	Mar.21-Apr. 5	Wash. DC-Vietnam-Wash. DC	Y	Y	N	N
Economic Securities 2000 Event (Speech/Social Security)	Mar.2-3	Chas. SC-Raleigh, NC-Chas. SC	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Talley Tract Partnership
Partner	Coosaw Plantation Partnership

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

RECEIVED
93 FEB -6 PM 12:58

HAND DELIVERED
(Office Use Only)

12

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1996

FORM A
For use by Members, officers, and employees

Marshall C. Sanford
(Full Name)

1223 Longworth Building
(Mailing Address)

(202) 225-3176
(Daytime Telephone)

Washington, DC 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: SC District: 1	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes [X] No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes [ ] No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes [X] No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes [X] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes [X] No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If yes, complete and attach Schedule IV.	Yes [X] No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes [ ] No [X]	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See instructions, pages 10–11.)	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: MC Sanford

DATE (Month/Day/Year): 2/5/96

PAGE 02 WELCH ROBERTS AMBURN 8635774317 11:06 12/30/1997

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12–13.

Source	Type	Amount
Examples: Keane State	Approved Teaching Fee	$8,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Norton & Sanford	Management fee	2,400.

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see Instructions, pages 13–14.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1996	$2,000
XYZ Magazine	Article	Aug. 13, 1996	$500
N/A			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Marshall C. Sanford

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

For further information, see instructions, pages 14–20.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

If other than one of the listed categories, specify the type of income by writing a brief description in this block.

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	Transaction (P, S, E)
SP, DC, JT	Examples: SP Mega Corp. Stock			X									X							X									P
	Examples: 123 Main St., Dover, Del.							X						X											X				
	Examples: 1st Bank of Paducah, KY accounts					X									X							X							
SP	First Federal of Charleston		X												X				X										
SP	Nations Securities:																												
	Emerson Electric					X							X									X							
	IBM			X									X						X										
	Snap-On		X										X						X										

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Marshall C. Sanford

Page 5 of 1

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	BLOCK E Transaction: P, S, E
SP	Nations Securities (Continued)																												
	Culligan Water Tech			X												X			X										
	Ecco Electric Co.		X																X										
	Readine Entertainment						X												X										
	Samsonite			X															X										
	Nations Prime MMKT - A		X											X						X									
SP	Nations Securities - IRA					X							X								X								
SP	Nations Securities - IRA MMKT - A		X										X							X									
	Nations Securities - IRA		X										X							X									
JT	Nations Securities																												
	Motorcar Parts			X															X										P
	US Masters Holdings				X														X										P
	Nations Bond Fund					X									X								X						
	MMKT - A			X											X						X								
DC	Nations Securities - MMKT - A				X										X								X						

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Marshall C. Sanford

Page 6 of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None - $1,000	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None - $200	II $201 - $1,000	III $1,001 - $2,500	IV $2,501 - $5,000	V $5,001 - $15,000	VI $15,001 - $50,000	VII $50,001 - $100,000	VIII $100,001 - $1,000,000	IX $1,000,001 - $5,000,000	X Over $5,000,000	BLOCK E Transaction P, S, E
DC	Reading Entertainment				X														X										
DC	Nations Securities Trust			X															X										
DC	Nations Securities MMKT - A			X											X							X							
DC	Nations Securities Trust			X															X										
DC	Nations Securities Trust			X															X										
SP	Sullivan Family Trust				X														X										
SP	Lazard Freres		X																X										
JT	NationsBank - Checking		X																X										
	Congressional Credit Union		X												X					X									
	Loblolly Pines Dev - S Corp				X									X	X									X					
SP	Loblolly Pines Dev - S Corp						X							X	X								X						
DC	Loblolly Pines Dev - S Corp			X										X	X							X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Marshall C. Sanford

Page 7 of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None - $1,000	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None - $200	II $201 - $1,000	III $1,001 - $2,500	IV $2,501 - $5,000	V $5,001 - $15,000	VI $15,001 - $50,000	VII $50,001 - $100,000	VIII $100,001 - $1,000,000	IX $1,000,001 - $5,000,000	X Over $5,000,000	BLOCK E Transaction: P S E
SP	Florida Club			X											X				X										
DC	Florida Club			X											X				X										
SP	BBV Co.		X										X						X										
DC	BBV Co.			X									X							X									
	Combahee Partners LP			X												X						X							
	PA Merchant Group				X															X									
	Talley Tract Partnership						X							X						X									
	Campaign Loan				X										X														
	Land - Beaufort County, SC								X										X										
	Cooosw Plantation Partnership		X																X										
	Kings Plaza			X										X									X						
	Commercial Rental - Savannah Hwy. Chas.			X										X					X										X
	Note Receivable - Margaret Peyton					X									X				X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Marshall C. Sanford

Page 8 of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	BLOCK E Transaction P, S, E
	Note Receivable - Tom Davis			X											X				X										X
	Southern Company	X																	X										
	BCRC, II LLC	X														X								X					P, S

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SCHEDULE IV — TRANSACTIONS

Name Marshall C. Sanford

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20–21.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-96		X								
	Valois Corp - S Corp (partial)		X		10-28-96	X									
SP	Nations Securities - IRA (partial)		X		12-10-96	X									
	Motorcar Parts stock	X			12-10-96		X								
	Commercial Rental - Charleston, SC - Savannah Bry.			X	6-19-96		X								
	Pope - Greenwood - Beaufort, SC			X	6-19-96	X									
	ECRC II, LLC	X			9-27-96		X								
	ECRC II, LLC		X		9-27-96		X								
JT	US Masters	X			2-15-96			X							
	Note Recievable - Tom Davis				12-15-96		X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* only if the balance at the end of the reporting period exceeded $10,000. For further information, see instructions, pages 21–22.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 52 of the 104th Congress, renumbered as House Rule 51 of the 105th Congress) prohibits gifts except as specifically provided in the rule. For further information, see instructions, pages 22–24.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270

Name Marshall C. Sanford | Page 10 of 11

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24–26.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Heritage Foundation	Jan 25-26	Wash, DC - Balt - Chas, SC	Y	Y	N	N
	Westminster H.S.	June 7-8	Chas, SC - Ft.Laud. - Chas.	N	N	N	N
	American Enterprise Institute	June 19-23	Wash, DC - Beaver Creek,CO-Chas.	Y	Y	Y	Y (MS/JS d. flight)
	Asia Pacific Exchange Foundation	Jun29-July 7	DC- China - Hong Kong - Chas.	Y	Y	N	N

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Talley Tract Partnership
Partner	Coosaw Plantation Partnership

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26–27.

Date	Parties To	Terms of Agreement

98 JUN 15 AM 11:32

HAND DELIVERED

MARSHALL "MARK" SANFORD
1ST DISTRICT
SOUTH CAROLINA

CONGRESS OF THE UNITED STATES
HOUSE OF REPRESENTATIVES
WASHINGTON, DC 20515–4001

COMMITTEES
GOVERNMENT REFORM AND OVERSIGHT
INTERNATIONAL RELATIONS
JOINT ECONOMIC

June 10, 1998

(1)

The Honorable Robin H. Carle
Clerk of the House
U. S. House of Representatives
Room B-106
Cannon House Office Building
Washington, D. C. 20515

MC

Dear Mr. Carle:

I understand that there was an incorrect duration listed for travel on my disclosure information. Please note that the trip in question to Vietnam was from March 21 through March 29. This trip was listed incorrectly as having been from March 21 through April 5.

Thank you for notifying my office.

Sincerely,

Mark Sanford
U. S. Representative

MS/ksw

☐ WASHINGTON OFFICE
1223 LONGWORTH BUILDING
WASHINGTON, DC 20515
(202) 225–3176

☐ DISTRICT OFFICE
640 FEDERAL BUILDING
CHARLESTON, SC 29403
(803) 727–4175

☐ DISTRICT OFFICE:
206 LAUREL STREET
CONWAY, SC 29526
(803) 248–2660

☐ DISTRICT OFFICE:
829–E FRONT STREET
GEORGETOWN, SC 29440
(803) 527–6868

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Thomas C. Sawyer (Full Name)
1298 N. Howard Street. (Mailing Address)
Akron, OHIO 44310-1064 (330) 923-7699 (Daytime Telephone)

MC

HAND DELIVERED (Office Use Only) (10)

Filer Status: [X] Member of the U.S. House of Representatives — State OHIO District 14 — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependant child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Tom Sawyer

DATE (Month/Day/Year): 5/11/98

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Name Sawyer, Thomas | Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Kodak State State of Maryland Civil War Roundtable (Oct. 2nd) Ontario County Board of Education	Approved Teaching Fee Legislative Pension Spouse Speech Spouse Salary	$6,000 $9,000 $1,000 NA
	Copley-Fairlawn City Schools	Spouse's Salary	N/A
	State Teachers' Retirement System of Ohio	Spouse pension	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page
Sawyer, Thomas	1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keuka State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Copley-Fairlawn City Schools	Spouse's salary	N/A
	State Teachers' Retirement System of Ohio	Spouse pension	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name SAWYER, Thomas | Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	SP Mega Corp. Stock					X								X										X					X			
DC	Examples Simon & Schuster			Indefinite																Royalties												
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	Summit Federal Cr. Union			X												X							X									
S	State Teachers Retirement System of Ohio						X							X							N	A										
self	State Tea. Ret. Sys of Ohio			X										X							X											
self	State Empl. Ret. Sys (Ohio)			X										X							X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sawyer, Thomas

Page 2 of 2

SP DC H	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P. S. E
self	Public Employees' Ret. Syst				X									X							X											
self	Lincoln National Annuity						X													Mutual Fund	X											

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SCHEDULE IV — TRANSACTIONS

Name Sawyer, Thomas | Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	Lincoln National Annuity	X			Bi-weekly through 8/97	X									

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3439

Name Sawyer, Thomas | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	NA											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NA		

Use additional sheets if more space is required.

Name Sawyer, Thomas | Page 1 of 2

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Population Resource Center, Princeton, NJ	Jan. 21-22	Cleve.-Princeton-Cl.	Y	Y	N	N
	Aspen Institute-Childrens' Forum Palm Beach, Fla.	Feb. 14-17	Cleve.-Palm B.-Cl.	Y	Y	Y	N
	Civility Retreat-Hershey, PA.	Mar. 7-9	Wash.-Hershey-Wash.	Y	Y	Y	N
	Nat'l Cable TV Assn. New Orleans, LA.	Mar. 16-17	Cl.-New O.-Cl.	Y	Y	N	N
	BP America, Toledo, Ohio	April 4	Akron-Toledo-Akron	N	Y	N	N

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Name Sawyer, Thomas | Page 2 of 2

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	The Aspen Institute, MD	Ap. 25-26	DC - Queenstown - Cl	Y	Y	N	N
	Amer. Stat. Assn./CPAFS	Aug. 13	Cl - Anaheim - Cl	Y (not no cost to sponsor)	Y	N	N
	The Aspen Inst. Denver	Aug. 17 to 20	Cl - Aspen - Cl.	Y	Y	N	N
	Pop. Commun. Intnl.	Sept. 12-13	Cl - Princeton - Cl	Y	Y	N	N
	Honda America, Marysville	Oct. 16	AK - Marysville - AK	N	Y	N	N
	Natnl. Jewish Dem. Council, Pgh.	Oct. 26	DC - Pgh - Cl	N	Y	N	N
	U.S.-Japan Econ. Agenda - Okinawa	Nov. 14-17	Cl - Okinawa - Cl.	Y	Y	N	N
	Transatl. Policy Network Paris	Nov. 20-23	Cl - Paris - Cl.	Y	Y	Y	N

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Name	Page	of
Sawyer, Thomas	1	1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Board	Population Resource Center

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NA	

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Use additional sheets if more space is required.

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MAY 15 1998 (Office Use Only) (6)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

H James Saxton
(Full Name)

207 High Street
(Mailing Address)

Mount Holly NJ 08060

Daytime Telephone (609)261-5800

Filer Status	[X] Member of the U.S. House of Representatives	State NJ District 03	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes [ ] No [X]

EXEMPTION: Have you excluded from this report any other assets, "unearned" income, transactions or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001)

SIGNATURE OF REPORTING INDIVIDUAL H. James Saxton

DATE (Month/Day/Year) 5-12-98

3444

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP, DC, JT *Examples:* SP Mega Corp. Stock	$15,001 - $50,000	Dividends	$201 - $1,000	P
SP 123 Main St., Dover, Del.	$250,001 - $500,000	Rent	$1,001 - $2,500	
1st Bank of Paducah, KY accounts	$50,001 - $100,000	Interest	$5,001 - $15,000	
911 Rt 206, Bordentown, NJ	$100.001 - $250.000	Rent	$5.001 - $15.000	
207 High St. Mt Holly, NJ	$100.001 - $250.000	Rent	$5.001 - $15.000	
Federal Credit Union, Washington, DC	$1 - $1.000	Interest	$1 - $200	
Vanguard US Treas Portfilio(IRA)	$15.001 - $50.000	Dividends	N/A	P
Vanguard Prime Money Market	$50.001 - $100.000	Dividends	$2.501 - $5.000	
Vanguard Admiral Fund #12	$50.001 - $100.000	Dividends	$2.501 - $5.000	
Vanguard Windsor 11 #73	$15.001 - $50.000	Capital Gains and Dividends	$1.001 - $2.500	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Vanguard Prime Cap #59	$15 001 - $50 000	Capital Gains and Dividends	$201 - $1 000	P
Bank of Mid Jersey, Bordentown, NJ	$1 - $1.000	Dividends	$1 - $200	

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Vanguard Windsor II	Purchase	10/28/97	$1,001 - $15,000
	Vanguard Primecap	Purchase	10/28/97	$15,001 - $50,000
	Vanguard Treasury MM IRA	Purchase	05/03/98	$1,001 - $15,000

Name H James Saxton | Page 5 of 6

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.	$100,001 - $250,000
	Bank of Mid-Jersey, Bordentown, NJ	Mortage 911 RT206 Bordentown	$10,001 - $15,000
	Bank of Mid-Jersey	Mortgage 207 High Mt Holly	$50,001 - $100,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
	Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
	National Council of Young Israel	7/8/97	DC - NC - DC	N	N	N	None

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 13 PM 5:08

(2)

MC
(Office Use Only)

CHARLES JOSEPH SCARBOROUGH
(Full Name)

127 CANNON HOB
(Mailing Address)

WASHINGTON D.C. 20515

Daytime Telephone (202) 225-4136

Filer Status	☒ Member of the U.S. House of Representatives	State District FL 01	☐ Officer or Employee	Employing Office
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes ☐ No ☒

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes ☐ No ☒

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes ☒ No ☐

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes ☐ No ☒

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes ☐ No ☒

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes ☐ No ☒

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes ☐ No ☒

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes ☐ No ☒

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes ☐ No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes ☐ No ☒

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL — DATE (Month/Day/Year) 05/13/98

3450

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								
DC	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
	#V211410 NEW ENGLAND VARIABLE ANNUITY-IRA #F208560			X										N/A							N/A											
	NEW ENGLAND FIXED ANNUITY-IRA #3542363			X										N/A							N/A											
	NEW ENGLAND GROWTH FUND-IRA #2203		X											N/A							N/A											
	COPELY PENSION PARTNERS III-IRA #10624			X										N/A							N/A											
	SWIFT INCOME PARTNERS III-IRA			X										N/A							N/A											
	CASH MANAGEMENT TRUST MONEY MKT ACCT		X											N/A							N/A											

For additional assets and unearned income, use next page.

3451

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Daniel L. Schaefer (Dan Schaefer)
(Full Name)

10755 West Iliff Avenue
(Mailing Address)

202-225-7882
Daytime Telephone

Lakewood, Colorado 80227

(6)

MC
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State Colorado District 6th	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5/14/98

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Public Employees' Retirement Association	Spouse Pension	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	Block D: None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	Block E
SP	Mega Corp. Stock					X								X										X								P
DC	*Examples* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
SP	Public Employees Ret. Assoc.					X															N/A											
	Investors Prtnr. Group Undeveloped Land-CO				X																X											
	Investment Property, Lot 34 (1/4 interest) Wilson Hill Massena, NY 13662				X																X											

For additional assets and unearned income, use next page.

3454

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St., Dover, Del.*				X						
	Bank of America, Richmond, VA	(1/4 Ownership Interest) Mortgage-2466 Windbreak Drive, Alexandria, VA	X									
	First Bank-Westland-Lakewood, CO	Personal Loan		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added toward the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph Smith, Anytown, Anystate	*Steak Platter (Determination on personal hospitality received from Committee on Standards)*	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	National Assn of Home Builders	Jan 23	DC-Houston TX-Denver, CO	N	N	N	-
	Interstate Natural Gas Assn	Jan 29-Feb1	Denver CO - Phoenix AZ - Denver, CO	Y	Y	N	-
	TCI	Feb 15-16	Denver CO-Phoenix, AZ	Y	Y	N	1 day
	Int'l City/Council Mgr. Assn.	Feb 18	Phoenix AZ	Y	Y	N	-
	ASARCO	Feb 19-20	Phoenix AZ - Denver CO	Y	Y	N	-
	Hanifen, Imhoff, Holdings, Inc.	May 19	Denver, CO - Orlando, FL - DC	N	N	N	-
	Nuclear Energy Institute	May 29-31	Denver, CO-Las Vegas, NV-Denver, CO	Y	Y	N	-
	Municipal Electric Auth, GA	July 18	DC - Atlanta GA - DC	N	Y	N	-
	Outdoor Recreation Coalition	Aug 10-11	Denver, CO-Salt Lake City, Utah-Denver CO	Y	Y	N	-
	Anschutz Corporation	Aug 31	Denver Colorado	Y	Y	Y	-
	Ntl Retail Federation	Aug 19	Beaver Creek, CO	Y	N	N	-
	American Hellenic Institute	Aug 23-29	Greece	Y	Y	Y	-
	Wing Group	Sept 26-28	DC - Aspen, CO-Denver, CO	Y	Y	Y	-

This page may be copied if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Partner	Investors Partnership Group

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
90 MAY 18 PM 3 06
OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES
INSIDE MAIL
(Office Use Only)

Full Name

(Mailing Address)

Daytime Telephone 202/225-4676

Filer Status: X House of Representatives

State CO District 04

Employing Office

Report Type: X Annual (May 15)

Amendment

Termination

Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse (or "earned" income (e.g., salaries or fees)) of $200 or more from any source in the reporting period? — Yes [X] No [ ]
If yes, complete and attach Schedule I

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? — Yes [ ] No [X]
If yes, complete and attach Schedule II

III. Did you or your spouse (or a dependent child) receive "unearned" income of more than $200 during the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? — Yes [X] No [ ]
If yes, complete and attach Schedule III

IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? — Yes [ ] No [X]
If yes, complete and attach Schedule IV

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? — Yes [X] No [ ]
If yes, complete and attach Schedule V

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? — Yes [ ] No [X]
If yes, complete and attach Schedule VI

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? — Yes [X] No [ ]
If yes, complete and attach Schedule VII

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? — Yes [ ] No [X]
If yes, complete and attach Schedule VIII

IX. Did you have any reportable agreement or arrangement with an outside entity? — Yes [ ] No [X]
If yes, complete and attach Schedule IX

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS. Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 104 and 18 U.S.C. 1001)

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5-14-98

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Name Robert Warren Schaffer	Page ___ of ___

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Symbios Logic, Inc., Fort Collins, CO	Salary/Spouse	$26,697.93
	National Science Foundation	Spouse Fellowship	NA
	Colorado State University	Spouse Grad Study	NA
	US House of Representatives	Salary	$133,600.00

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page __ of __

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see Instructions, pages 13-14.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1994	$2,000
	XYZ Magazine	Article	Aug. 13, 1994	$500

Name Robert Warren Schaffer | Page ___ of ___

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account **Exclude**: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None"	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC JT	*Examples* SP Mega Corp Stock 123 Main St., Dover Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	427 Smith Street, Ft. Collins, CO	$100,001 - $250,000	Rent	$5,001 - $15,000	
	Bank One of Colorado, Loveland, Accts.	$15,001 - $50,000	Interest	$1 - $200	
	State Street Bank and Trust, Boston, VA, IRAS	$50,001 - $100,000	Interest	N/A	
	At&T Stock	$1,001 - $15,000	Dividends	$1 - $200	
	Public Employees Pension Assn. of Colorado	$15,001 - $50,000	Interest	N/A	
SP	Lucent Technologies, Inc. Stock	$1 - $1,000	Capital Gains	$1 - $200	

Name Robert Warren Schaffer	Page of

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Symbios Logic Savings Plan, Ft Collins, CO	$50,001 - $100,000	Dividends	$201 - $1,000	
Fidelity Advisor Funds, Boston, MA	$15,001 - $50,000	Dividends	$201 - $1,000	
Symbios Locig Savings Plan, Lexington KY	$1,001 - $15,000	Interest	$1 - $200	
Northhouse, LLC, Ft Collins, CO	[redacted] $1,001 - $15,000	Capital Gains	None	

Name Robert Warren Schaffer	Page of

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000

Name Robert Warren Schaffer	Page of

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Chase Manhattan Bank, Phoenix AZ	Mortgage on 427 Smith St Rental	$50,001 - $100,000

Name	Page of

SCHEDULE VI -- GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year
Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold
Note: The gift rule (House Rule 52 in the 104th Congress, renumbered as House Rule 51 of the 105th Congress) prohibits gifts except as specifically provided in the rule
For further information, see Instructions, pages 22-24

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270

Name Robert Warren Schaller	Page of

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see instructions, pages 24-25.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce Mega Corporation	Mar 2 Aug 6-13	Wash., D.C.-Chicago-Wash., D.C. Wash., D.C.-Los Angeles-Cleveland	N Y	N Y	N Y	N 4 Days
American Israel Education Foundation	8/10/98 - 8/17/98	Cincinnati-Israel-Denver	Y	Y	Y	1/3 day
Independence Institute	8/29/98 - 8/30/98	N/A	Y	Y	Y	0
University of Dayton	12/10/97 - 12/4/97	Denver - Dayton - Washington, D.C.	N	N	N	0

Name	Page ___ of ___

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Organization

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26-27.

Date	Parties To	Terms of Agreement

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 15 PM 3:04

Charles Ellis Schumer
(Full Name)

2211 Rayburn House Office Bldg Washington DC
(Mailing Address)

Daytime Telephone (202) 225-6616

HAND DELIVERED (9)
MC
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State District NY 9th	[ ] Officer or Employee	Employing Office
Report Type	[ ] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g. salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [ ] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Charles E. Schumer

DATE (Month/Day/Year): 5-15-98

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Name Charles Schumer	Page of

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	US House of Representitives	Members Salary	126,919
	City of New York	Spouses Salary	93,590.

For payments to charity in lieu of honoraria, use Schedule II.

Name Charles Schumer	Page of

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500
	N/A			

This page may be copied if more space is required.

Name Charles Schumer | Page of

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source		A None	B $1 – $1,000	C $1,001 – $15,000	E $15,001 – $50,000	F $50,001 – $100,000	G $100,001 – $250,000	H $250,001 – $500,000	I $500,001 – $1,000,000	J $1,000,001 – $5,000,000	K $5,000,001 – $25,000,000	L $25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP		SP					X								X																		P
DC	*Examples*			Indefinite																	Royalties									X			
JT								X									X										X						
JT	Dreyfus 100% US Treas				X												X							X									
	Dreyfus 100% US Treas		X																			X											
JT	Citibank – CD				X												X							X									
	Value Line – Money Mkt				X										X								X										
SP	Merrill Lynch O Treq IRA						X										X							X									
SP	Municipal Credit Union				X												X							X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Charles Schumer | Page of .

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Govt Securities Income Fund (IRA)			X												X					X											
Sp	Govt Securities Income Fund (IRA)			X												X					X											
	US Treas Bill - O Coupon					X								X									X									
JT	US Treas Bill - O Coupon				X									X								X										
JT	Citibank Checking			X																	X											
JT	Citibank Savings		X													X							X									
DC	Resources Accrued Int Fees.			X										X								X										
Sp	NYC Deferred Comp Plan					X											n/a							n/a								
	Smith Barney Money Mkt					X										X									X							
JT	Smith Barney Money Mkt				X											X								X								

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SCHEDULE IV — TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.			Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example*	Mega Corporation Common Stock	X			10–12–97		X								

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Name Charles Schumer	Page of

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	Independence Savings Bank (Personal residence, exempt from reporting but in interest of full disclosure listed)	Mortgage on 9 PPW			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Charles Schumer | Page of

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days

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Name Charles Schumer	Page of

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Robert C. Scott
(Full Name)

2464 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone: 202/225-8351

Filer Status	[X] Member of the U.S. House of Representatives	State VA District: 03	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date: ~~12/31/98~~

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If yes, complete and attach Schedule IV.	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C 1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 6/15/98

3478

SCHEDULE III – ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is self-directed, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC Examples SP JT	Mega Corp. Stock 123 Main St. Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
Automatic Data Processing/stock	$1,001 - $15,000	Dividends	None - $200	P
Coca Cola/stock	$1,001 - $15,000	Dividends	None - $200	P
Applebee's/stock	$1,001 - $15,000		NA	P
American Insurance Group/stock	$1,001 - $15,000			
Sigma Aldridge/stock	$1,001 - $15,000	Dividends	None - $200	
Rubbermaid/stock	$1,001 - $15,000	Dividends	None - $200	P
Sysco Corp/stock	$1,001 - $15,000	Dividends	None - $200	
Oakmark Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	
Baron Asset Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Kaufmann Fund	$15,001 - $50,000	Capital Gains and Dividends	$201 - $1,000	
Muhlenkamp Fund	$1,001 - $15,000	Dividends	None - $200	P
	None - $1,000		NA	
Babson Value Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
Aim Aggressive Growth Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	
Domini Spctal Equity Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
Conn Mutual/Annuity Fund	$1,001 - $15,000			NA
Value Line Funds	$1,001 - $15,000	Capital Gains and Dividends	$1,001 - $2,500	P
(incl Fund, LevGrowth, and Asset Allocation)				
Fidelity Growth & Inc/Mut Fd	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
Fidelity Div.Growth/Mut.Fd	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
PBGH Growth/Mutual Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
Torrey Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
AARP Growth & Income Fund	$1,001 - $15,000	Capital Gains and Dividends	~~None - $200~~ $201 - 1,000	P
Fidelity Select Electronics Fund	$1,001 - $15,000	Capital Gains and Dividends	~~$201 - $1,000~~ $1,001 - 2,500	P
White Oak Growth Stock Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
Wendy's/Stock	$1,001 - $15,000	Dividends	None - $200	P
Home Depot/Stock	$1,001 - $15,000	Dividends	None - $200	P
Colgate/Stock	$1,001 - $15,000	Dividends	None - $200	P
AFLAC/Stock	$1,001 - $15,000	Dividends	None - $200	P
Walt Disney/Stock	$1,001 - $15,000	Dividends	None - $200	P
Dionex/Stock	$1,001 - $15,000			P
Thermo Electron/Stock	$1,001 - $15,000			P
Wal-Mart Stores/Stock	$1,001 - $15,000	Dividends	None - $200	P
	~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~P~~

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~P~~
	~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~P~~
Professional Investment Associates/Investment Club	$15,001 - $50,000	Capital Gains and Dividends	~~$201 - $1,000~~ $2,501 - 5000	
		Interest		
**Hershey Foods/PIA Stock	$1,001 - $15,000	Capital Gains	$201 - $1,000	
**AFLAC/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Abbott Labs/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Automatic Data Proc/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Berkshire Hathaway/PIA Stock	$1,001 - $15,000			NA
**Coca Cola/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Dollar General/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Equifax/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**General Electric/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Johnson & Johnson/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**McDonald's/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Pepsico/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Synovuous/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
—				
all stocks above designated with the "" are stocks in the Professional Investment Club portfolio, and only the member's interest is considereded.				
	$1,001 - $15,000	Interest	None - $200	
	None - $1,000	Interest	None - $200	
Scott Family Trust	$15,001 - $50,000			
~~Applebee's Stock~~	~~$1,001 - $15,000~~		~~None - $200~~	~~P~~
~~American Int'l Group Stock~~	~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Luby's Cafeteria/stock	$1,001 - $15,000	Dividends	None - $200	P
	Sara Lee/stock	$1,001 - $15,000	Dividends	None - $200	P
	Federal Signal Corp/stock	$1,001 - $15,000	Dividends	None - $200	P
	Gillette/stock	$1,001 - $15,000	Dividends	None - $200	P
		~~None - $1,000~~	~~Capital Gains and Dividends~~	~~None - $200~~	~~NA~~
	Wrigley's/stock	$1,001 - $15,000	Capital Gains and Dividends	None - $200	NA
		~~$1,001 - $15,000~~	~~Capital Gains and Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Capital Gains and Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Capital Gains and Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~NA~~
				~~None - $200~~	

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	AARP Growth & Income Fund	Purchase	several purchases of less than 1000	$1,001 - $15,000
	Domini Social Equity Fund	Purchase	6/2/98 and several purchases of less than 1000	$1,001 - $15,000
	Torray Fund	Purchase	4/1/97	$1,001 - $15,000
	Fidelity Select Electronics Fund	Purchase	4/3/97 and several purchases of less than 1000	$1,001 - $15,000
	Fidelity Growth & Income Fund	Purchase	several purchases of less than 1000	$1,001 - $15,000
	Fidelity Dividend Growth Fund	Purchase	several purchases of less than 1000	$1,001 - $15,000
	Babson Value Fund	Purchase	4/14/97 and several purchases of less than 1000	$1,001 - $15,000
	Baron Asset Fund	Purchase	6/24/97 and several purchases of less than 1,000	$1,001 - $15,000
	Profit Lomax Fund	Purchase	several purchases of less than 1000	$1,001 - $15,000
	Profit Lomax Fund	Sold	12/31/97	$1,001 - $15,000
	White Oak Growth Stock Fund	Purchase	10/9/97 and several purchases less than 1000	$1,001 - $15,000
	Professional Investment Associates(PIA)/Investment Club	Purchase	$200/mo	$1,001 - $15,000
	Van Waggoner Mid-Cap Fund	Sold	12/22/97	$1,001 - $15,000
	Van Waggoner Emerging Growth Fund	Sold	12/22/97	$1,001 - $15,000
	Van Waggoner Micro-Cap Fund	Sold	12/22/97	$1,001 - $15,000

SCHEDULE IV – TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Muhlenkamp Fund	Purchase	12/22/97	$1,001 - $15,000
	Federal Signal Corp/stock	Purchase	8/7/97 and 10/16/97	$1,001 - $15,000
	Value Line Funds (Incl Fund, Asset Allocation & Lev Growth)	Purchase	several purchases less than 1000	$1,001 - $15,000
	Sysco Corp/stock	Purchase	8/29/97 and 9/11/97	$1,001 - $15,000
	Coca Cola/stock	Purchase	10/23/97 and 10/27/97	$1,001 - $15,000
	Applebee's/stock	Purchase	12/17/97 and 12/24/97	$1,001 - $15,000
	Jundt Growth Fund	Sold	4/28/97	$1,001 - $15,000
	American Int'l Group	Purchase	6/15/97	$1,001 - $15,000
	Luby's Cafeteria/stock	Purchase	7/21/97	$1,001 - $15,000
	Sara Lee/stock	Purchase	10/27/97	$1,001 - $15,000
	Automatic Data Processing/stock	Purchase	1/2/97 and 10/27/97	$1,001 - $15,000
	Rubbermaid/stock	Purchase	several purchases less than 1000	$1,001 - 15,000

SCHEDULE V – LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,J	Creditor	Type of Liability	Amount of Liability
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.	$100,001 - $250,000
	Congressional Federal Credit Union	revolving credit card	$10,001 - $15,000
	Fidelity Investments	margin account	$15,001 - $50,000
	Wheat First Securities	margin account	$10,001 - $15,000
	Crestar	mortgage on former residence	$50,001 - $100,000

CHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Organization
Board Member	March of Dimes/Hamton Roads local chapter
Board member	Va Econ Dev. Council Peninsula

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers and employees

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OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES

JUN 15 1998

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(Office Use Only)

Robert C Scott
(Full Name)

2464 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone: 202/225-8351

Filer Status	[X] Member of the U S House of Representatives	State VA District 03	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] ~~Termination~~	Termination Date: ~~12/31/98~~

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ] No [X]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ] No [X]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ] No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X] No [ ]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See instructions, pages 10-11)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See instructions, page 11)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 6/15/98

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC JT	*Examples.* SP Mega Corp Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Automatic Data Processing/stock	$1,001 - $15,000	Dividends	None - $200	P
	Coca Cola/stock	$1,001 - $15,000	Dividends	None - $200	P
	Applebee's/stock	$1,001 - $15,000		NA	P
	American Insurance Group/stock	$1,001 - $15,000			
	Sigma Aldridge/stock	$1,001 - $15,000	Dividends	None - $200	
	Rubbermaid/stock	$1,001 - $15,000	Dividends	None - $200	P
	Sysco Corp/stock	$1,001 - $15,000	Dividends	None - $200	
	Oakmark Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	
	Baron Asset Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Kaufmann Fund	$15,001 - $50,000	Capital Gains and Dividends	$201 - $1,000	
	Muhlenkamp Fund	$1,001 - $15,000	Dividends	None - $200	P
		None - $1,000		NA	
	Babson Value Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
	Aim Aggressive Growth Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	
	Domini Spcial Equity Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
	Conn Mutual/Annuity Fund	$1,001 - $15,000			NA
	Value Line Funds	$1,001 - $15,000	Capital Gains and Dividends	$1,001 - $2,500	P
	(Incl Fund, LevGrowth, and Asset Allocation)				
	Fidelity Growth & Inc/Mut Fd	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
	Fidelity Div Growth/Mut Fd	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
	PBGH Growth/Mutual Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
	Torray Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
	AARP Growth & Income Fund	$1,001 - $15,000	Capital Gains and Dividends	~~None - $200~~ $201 - 1,000	P
	Fidelity Select Electronics Fund	$1,001 - $15,000	Capital Gains and Dividends	~~$201 - $1,000~~ $1,001 - 2,500	P
	White Oak Growth Stock Fund	$1,001 - $15,000	Capital Gains and Dividends	None - $200	P
	Wendy's/Stock	$1,001 - $15,000	Dividends	None $200	P
	Home Depot/Stock	$1,001 - $15,000	Dividends	None - $200	P
	Colgate/Stock	$1,001 - $15,000	Dividends	None - $200	P
	AFLAC/Stock	$1,001 - $15,000	Dividends	None - $200	P
	Walt Disney/Stock	$1,001 - $15,000	Dividends	None - $200	P
	Dionex/Stock	$1,001 - $15,000			P
	Thermo Electron/Stock	$1,001 - $15,000			P
	WalMart Stores/Stock	$1,001 - $15,000	Dividends	None - $200	P
		~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~P~~

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~-0-~~
	~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~-0-~~
Professional Investment Associates/Investment Club	$15,001 - $50,000	Capital Gains and Dividends	~~$201 - $1,000~~ $2501 - 5000	
		Interest		
**Hershey Foods/PIA Stock	$1,001 - $15,000	Capital Gains	$201 - $1,000	
**AFLAC/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Abbott Labs/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Automatic Data Proc/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Berkshire Hathaway/PIA Stock	$1,001 - $15,000			NA
**Coca Cola/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Dollar General/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Equifax/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**General Electric/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Johnson & Johnson/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**McDonald's/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Pepsico/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
**Synouvous/PIA Stock	$1,001 - $15,000	Dividends	None - $200	
all stocks above designated with the "" are stocks in the Professional Investment Club portfolio, and only the member's interest is considereded				
	$1,001 - $15,000	Interest	None - $200	
	None - $1,000	Interest	None - $200	
Scott Family Trust	$15,001 - $50,000			
~~Applebees/stock~~	~~$1,001 - $15,000~~		~~None - $200~~	~~-0-~~
~~American Int'l Group/stock~~	~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Luby's Cafeteria/stock	$1,001 - $15,000	Dividends	None - $200	P
	Sara Lee/stock	$1,001 - $15,000	Dividends	None - $200	P
	Federal Signal Corp/stock	$1,001 - $15,000	Dividends	None - $200	P
	Gillette/stock	$1,001 - $15,000	Dividends	None - $200	P
		~~None - $1,000~~	~~Capital Gains and Dividends~~	~~None - $200~~	~~NA~~
	Wrigley's / stock	$1,001 - $15,000	Capital Gains and Dividends	None - $200	NA
		~~$1,001 - $15,000~~	~~Capital Gains and Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Capital Gains and Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Capital Gains and Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~NA~~
		~~$1,001 - $15,000~~	~~Dividends~~	~~None - $200~~	~~NA~~
				~~None - $200~~	

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SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	AARP Growth & Income Fund	Purchase	several purchases of less than 1000	$1,001 - $15,000
	Domini Social Equity Fund	Purchase	6/2/98 and several purchases of less than 1000	$1,001 - $15,000
	Torray Fund	Purchase	4/1/97	$1,001 - $15,000
	Fidelity Select Electronics Fund	Purchase	4/3/97 and several purchases of less than 1000	$1,001 - $15,000
	Fidelity Growth & Income Fund	Purchase	several purchases of less than 1000	$1,001 - $15,000
	Fidelity Dividend Growth Fund	Purchase	several purchases of less than 1000	$1,001 - $15,000
	Babson Value Fund	Purchase	4/14/97 and several purchases of less than 1000	$1,001 - $15,000
	Baron Asset Fund	Purchase	6/24/97 and several purchases of less than 1,000	$1,001 - $15,000
	Profit Lomax Fund	Purchase	several purchases of less than 1000	$1,001 - $15,000
	Profit Lomax Fund	Sold	12/31/97	$1,001 - $15,000
	White Oak Growth Stock Fund	Purchase	10/9/97 and several purchases less than 1000	$1,001 - $15,000
	Professional Investment Associates(PIA)/Investment Club	Purchase	$200/mo	$1,001 - $15,000
	Van Waggoner Mid-Cap Fund	Sold	12/22/97	$1,001 - $15,000
	Van Waggoner Emerging Growth Fund	Sold	12/22/97	$1,001 - $15,000
	Van Waggoner Micro-Cap Fund	Sold	12/22/97	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Muhlenkamp Fund	Purchase	12/22/97	$1,001 - $15,000
	Federal Signal Corp/stock	Purchase	8/7/97 and 10/16/97	$1,001 - $15,000
	Value Line Funds (incl Fund, Asset Allocation & Lev Growth)	Purchase	several purchases less than 1000	$1,001 - $15,000
	Sysco Corp/stock	Purchase	8/29/97 and 9/11/97	$1,001 - $15,000
	Coca Cola/stock	Purchase	10/23/97 and 10/27/97	$1,001 - $15,000
	Applebee's/stock	Purchase	12/17/97 and 12/24/97	$1,001 - $15,000
	Jundt Growth Fund	Sold	4/28/97	$1,001 - $15,000
	American Int'l Group	Purchase	8/15/97	$1,001 - $15,000
	Luby's Cafeteria/stock	Purchase	7/21/97	$1,001 - $15,000
	Sara Lee/stock	Purchase	10/27/97	$1,001 - $15,000
	Automatic Data Processing/stock	Purchase	1/2/97 and 10/27/97	$1,001 - $15,000
	Rubbermaid/stock	Purchase	several purchases less than 1000	$1,001 - 15,000

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SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,J	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Congressional Federal Credit Union	revolving credit card	$10,001 - $15,000
	Fidelity Investments	margin account	$15,001 - $50,000
	Wheat First Securities	margin account	$10,001 - $15,000
	Crestar	mortgage on former residence	$50,001 - $100,000

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Organization
Board Member	March of Dimes/Hamton Roads local chapter
Board member	Va Econ Dev. Council Peninsula

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

The Honorable F James Sensenbrenner, Jr
(Full Name)

2332 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone (202)225-5101

Filer Status	[X] Member of the U S House of Representatives	State WI District 09	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X] No [ ]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11)	Yes [X]	No [ ]

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SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5/14/98

3496

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Sensenbrenner Family Trust (Trustee Fee	Family	$20,000.00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left. For further information, see Instructions, pages 14-20.	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC *Examples* SP Mega Corp. Stock JT 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
Solutia Inc	$15,001 - $50,000	Dividends	$1 - $200	spin-off
Wisc State Retirement	$50,001 - $100,000	Dividends	None	
DC Lottery Board	$100,001 - $250,000	Lottery winning	None	
Abbott Laboratories stock	$250,001 - $500,000	Dividends	$5,001 - $15,000	NA
Ameritech stock	$15,001 - $50,000	Dividends	$201 - $1,000	SPLIT
AMOCO Oil Co stock	$100,001 - $250,000	Dividends	$2,501 - $5,000	NA
AT&T stock	$15,001 - $50,000	Dividends	$201 - $1,000	drip
Bank One stock	$100,001 - $250,000	Dividends	$2,501 - $5,000	stock dividend

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Bell Atlantic stock	$50,001 - $100,000	Dividends	$201 - $1,000	drip/stock issue
Bell South stock	$15,001 - $50,000	Dividends	$201 - $1,000	drip
Morgan Stanley/Dean Whitter	$1,001 - $15,000	Dividends	$1 - $200	NA
Dunn & Bradstreet stock	$50,001 - $100,000	Dividends	$1,001 - $2,500	NA
DuPont stock	$50,001 - $100,000	Dividends	$1,001 - $2,500	split
Eastman Chemical stock	$15,001 - $50,000	Dividends	$201 - $1,000	NA
Eastman Kodak stock	$50,001 - $100,000	Dividends	$1,001 - $2,500	NA
Exxon Corporation stock	$250,001 - $500,000	Dividends	$5,001 - $15,000	split
Firstar stock	$50,001 - $100,000	Dividends	$1,001 - $2,500	NA
General Electric stock	$250,001 - $500,000	Dividends	$5,001 - $15,000	split
General Mills stock	$100,001 - $250,000	Dividends	$2,501 - $5,000	NA
General Motors	$15,001 - $50,000	Dividends	$201 - $1,000	NA
Halliburton Corp stock	$100,001 - $250,000	Dividends	$201 - $1,000	split
Houston Industries stock	$1,001 - $15,000	Dividends	$201 - $1,000	NA
Kellogg Corp stock	$100,001 - $250,000	Dividends	$2,501 - $5,000	split
Kimberly Clark Corp stock	$1,000,001 - $5,000,000	Dividends	$15,001 - $50,000	sold/split
Merck & Co stock	$1,000,001 - $5,000,000	Dividends	$15,001 - $50,000	NA
Minn Min & Mfg stock	$50,001 - $100,000	Dividends	$1,001 - $2,500	NA
Monsanto Corp stock	$250,001 - $500,000	Dividends	$2,501 - $5,000	NA
Newell stock	$50,001 - $100,000	Dividends	$1,001 - $2,500	NA
NYNEX stock	$1,001 - $15,000	Dividends	$201 - $1,000	puchased by Bell Atlantic
Ogden & Co stock	$15,001 - $50,000	Dividends	$1,001 - $2,500	NA

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	PG&E (Pacific Gas & Electric)	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	Pacific Tele stock	$1 - $1,000	Dividends	$1 - $200	purchased by SBC Corp
SP	Philip Morris Co stock	$250,001 - $500,000	Dividends	$15,001 - $50,000	stock donated to charity
	Sears Roebuck stock	$1,001 - $15,000	Dividends	$1 - $200	NA
	SBC Comm stock	$15,001 - $50,000	Dividends	$201 - $1,000	stock issue
	Tenneco Corp stock	$15,001 - $50,000	Dividends	$201 - $1,000	drip
	Unisys Pfd stock	$1,001 - $15,000	Dividends	$201 - $1,000	NA
SP	Universal Foods stock	$50,001 - $100,000	Dividends	$1,001 - $2,500	drip
	US West stock	$15,001 - $50,000	Dividends	$201 - $1,000	drip
	Warner Lambert stock	$250,001 - $500,000	Dividends	$2,501 - $5,000	NA
	Wisconsin Energy stock	$15,001 - $50,000	Dividends	$201 - $1,000	NA
	Allstate Ins stock	$15,001 - $50,000	Dividends	$1 - $200	
	Darden Restaurants	$15,001 - $50,000	Dividends	$1 - $200	
	Sandusky Voting Trust	$1,001 - $15,000	Dividends	$1 - $200	NA
	Airtouch Communications	$1,001 - $15,000		None	
	Highlands Insurance stock	$1,001 - $15,000		None	
	Cognizant Corp	$100,001 - $250,000	Dividends	$201 - $1,000	
	x				
	Bank One, Milwaukee	$50,001 - $100,000	Interest	$1,001 - $2,500	
	M&I Bank Lake Country Bank	$1 - $1,000	Interest	$1 - $200	
	Burke & Herbert Bank	$1,001 - $15,000	NA	None	
	Firstar FSB, IRA	$50,001 - $100,000	NA	NA	

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

DC	FJS, III Trust	$100,001 - $250,000	Dividends	$1,001 - $2,500	
DC	RAS Trust	$100,001 - $250,000	Dividends	$1,001 - $2,500	
	FJS Jr Trust	$250,001 - $500,000	Dividends	$5,001 - $15,000	
DC	Schweitzer Maudit (in trust)	$1,001 - $15,000	Dividends	$201 - $1,000	
DC	Burke & Herbert Bank	$1,001 - $15,000	Interest	$1 - $200	
DC	Burke & Herbert Bank	$1,001 - $15,000	Interest	$1 - $200	
DC	Kimberly Clark Corp (in trust)	$100,001 - $250,000	Dividends	$5,001 - $15,000	
DC	Burke & Herbert Bank (in trust)	$15,001 - $50,000	Interest	$5,001 - $15,000	
DC	Kimberly Clark Corp (in trust)	$100,001 - $250,000	Dividends	$5,001 - $15,000	
DC	Bank One (in trust)	$15,001 - $50,000	Interest	$2,501 - $5,000	
DC	FJS, III 1993 Trust (Exempt)	None	Dividends/Interest	$2,501 - $5,000	
DC	RAS 1993 Trust (Exempt)	None	Dividends/Interest	$2,501 - $5,000	
DC	Firstar Bank	$1,001 - $15,000	Interest	$1 - $200	
DC	Firstar Bank	$1,001 - $15,000	Interest	$1 - $200	
DC	Schweietzer Maudit (in trust)	$1,001 - $15,000	Dividends	$201 - $1,000	
	A C Nielsen	$15,001 - $50,000	n/a	None	
	NCR Corp	$1,001 - $15,000		None	split
	El Paso Natural Gas	$1,001 - $15,000	Dividends	$1 - $200	
	Imation	$1,001 - $15,000		None	
	Lucent Technologies	$15,001 - $50,000	Dividends	$1 - $200	
	Newport News Shipbuilding	$1,001 - $15,000	Dividends	$1 - $200	drip

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Raytheon Co	$1,001 - $15,000		None	spin-off

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Kimberly Clark stock	Sold	2/12/97	$1,001 - $15,000
	Kimberly Clark stock	Sold	2/26/97	$15,001 - $50,000
	Kimberly Clark stock	Sold	3/18/97	$100,001 - $250,000
	Kimberly Clark stock	Sold	7/28/97	$50,001 - $100,000
	Kimberly Clark stock	Sold	9/22/97	$15,001 - $50,000
	Kimberly Clark stock	Sold	10/24/97	$15,001 - $50,000
	Kimberly Clark stock	Sold	11/24/97	$15,001 - $50,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U S C 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you For further information, see Instructions, pages 24-26

Source	Date(s)	Point of Departure–Destination–Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash , D C -Chicago-Wash , D C	N	N	N	N
Mega Corporation	Aug 6-13	Wash , D C -Los Angeles-Cleveland	Y	Y	Y	4 Days
Space Technology & Applications International Forum	1/26-1/27	Washington/Albuquerque/Washington	Y	N	N	
The Brookings Institution	8/20-8/29	Washington/Hong Kong/Tokyo/Washington	Y	Y	Y	8/20-8/24 personal
GW University Elliott School	11/14-11/20	Washington/Okinawa/Bangkok	Y	Y	N	11/17-11/20 personal

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Trustee	Sensenbrenner Family Trust
Co-Trustee	Separate trusts established for benefit of
	F. James Sensenbrenner, III, and
	Robert Alan Sensenbrenner

F. JAMES SENSENBRENNER, JR.
NINTH DISTRICT, WISCONSIN
COMMITTEE ON SCIENCE, CHAIRMAN
COMMITTEE ON THE JUDICIARY

Congress of the United States
House of Representatives
Washington, DC 20515–4909

WASHINGTON OFFICE
ROOM 2332
RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–4909
202–225–5101

DISTRICT OFFICE:
120 BISHOPS WAY
BROOKFIELD, WI 53005–6294
414–784–1111

OUTSIDE MILWAUKEE METRO
CALLING AREA
1–800–242–1119

E-MAIL:
SENSEN09@mail.house.gov

MR. SENSENBRENNER. Mr. Speaker, through the following statement, I am making my financial net worth as of March 31, 1998, a matter of public record. I have filed similar statements for each of the eighteen preceding years I have served in the Congress.

ASSETS

REAL PROPERTY

Single family residence at 609 Ft. Williams Parkway, City of Alexandria, Virginia, at assessed valuation. (Assessed at $600,000). Ratio of assessed to market value: 100% (Encumbered)	$ 600,000.00
Condominium at N76 W14726 North Point Drive, Village of Menomonee Falls, Waukesha County, Wisconsin, at assessor's estimated market value. (Unencumbered)	94,200.00
Undivided 25/44th interest in single family residence at N52 W32654 Maple Lane, Village of Chenequa, Waukesha County, Wisconsin at 25/44th of assessor's estimated market value of $614,700.	349,261.35
TOTAL REAL PROPERTY	$1,043,461.35

1998 disclosure

Common & Preferred Stock	# of shares	$ per share	Value
A.C. Nielsen Co.	833	26.44	22,022.44
Abbott Laboratories, Inc.	6100	75.31	459,406.25
Airtouch Communications	148	48.94	7,242.75
Allstate Corporation	185	91.94	17,008.44
American Telephone & Telegraph	566.468	65.75	37,245.27
Ameritech	798.82	49.44	39,491.66
Amoco Corp.	1362	86.38	117,642.75
Bank One Corp.	3438	63.25	217,453.50
Bell Atlantic Corp.	493.318	102.25	50,441.77
Bell South Corp.	595.3272	67.44	40,147.38
Benton County Mining Company	333	0.00	0.00
Chenequa Country Club Realty Co.	1	0.00	0.00
Cognizant Corp.	2500	57.38	143,437.50
Darden Restaurants, Inc.	1440	15.56	22,410.00
Dunn & Bradstreet, Inc.	2500	33.19	82,968.75
E.I. DuPont de Nemours Corp.	1200	68.00	81,600.00
Eastman Chemical Co.	270	67.44	18,208.13
Eastman Kodak	1080	64.88	70,065.00
El Paso Natural Gas	75	70.63	5,296.88
Exxon Corp.	4864	67.63	328,928.00
Firstar Corp.	1352	39.50	53,404.00
General Electric Co.	5200	86.19	448,175.00
General Mills, Inc.	1440	76.00	109,440.00
General Motors Corp.	304	67.75	20,596.00
Halliburton Company	2000	50.13	100,250.00
Highlands Insurance Group, Inc.	100	26.88	2,687.50
Houston Industries	300	28.75	8,625.00
Imation Corp.	99	18.50	1,831.50
Kellogg Corp.	3200	43.13	138,000.00
Kimberly-Clark Corp.	38868	50.13	1,948,258.50
Lucent Technologies	174	127.88	22,250.25
Merck & Co., Inc.	15639	128.19	2,004,724.31
Minnesota Mining & Manufacturing	1000	91.00	91,000.00
Monsanto Corporation	8360	52.00	434,720.00
Morgan Stanley/Dean Whitter	156	72.88	11,368.50
NCR Corp.	68	33.06	2,248.25
Newell Corp.	1676	48.44	81,181.25
Newport News Shipbuilding	163.356	26.69	4,359.56
Ogden Corp.	910	28.75	26,162.50
PG&E Corp.	175	33.00	5,775.00
Raytheon Co.	19	56.88	1,080.63
Sandusky Voting Trust	26	85.25	2,216.50
SBC Communications	1007.958	43.37	43,716.25
Sears Roebuck & Co.	200	57.44	11,487.50
Solutia	1672	29.75	49,742.00
Tenneco Corp.	836.115	42.69	35,691.66

1998 disclosure

U.S. West, Inc.	297.923	54.63	16,274.04
Unisys, Inc. Preferred	100	47.25	4,725.00
Warner Lambert Co.	2268	170.31	386,268.75
Wisconsin Energy Corp.	1022	30.69	31,362.63

TOTAL COMMON & PREFERRED STOCKS AND BONDS $7,836,616.09

1998 disclosure

Life Insurance Policies	Face $	Surrender $
Northwestern Mutual #4378000	12,000.00	37,268.76
Northwestern Mutual #4574061	30,000.00	89,268.24
Massachusetts Mutual #4116575	10,000.00	7,065.13
Massachusetts Mutual #4228344	100,000.00	156,162.13
Old Line Life Ins. #5-1607059L	175,000.00	27,937.93
TOTAL LIFE INSURANCE POLICIES		$317,702.19

1998 disclosure

BANK & SAVINGS & LOAN ACCOUNTS	BALANCE
Bank One, Milwaukee, N.A., checking account	1,114.19
Bank One, Milwaukee, N.A., preferred savings	144,531.02
Bank One, Milwaukee, N.A., regular savings	791.27
M&I Lake Country Bank, Hartland, WI, checking account	3,672.34
M&I Lake Country Bank, Hartland, WI, savings	327.85
Burke & Herbert Bank, Alexandria, VA, checking account	2,078.51
Firstar, FSB, Butler, WI, IRA accounts	64,352.87
TOTAL BANK & SAVINGS & LOAN ACCOUNTS	$216,868.05

1998 disclosure

MISCELLANEOUS	VALUE
1985 Pontiac 6000 automobile - blue book retail value	$1,600.00
1991 Buick Century automobile - blue book retail value	$5,100.00
Office furniture & equipment (estimated)	$1,000.00
Furniture, clothing & personal property (estimated)	$145,000.00
Stamp collection (estimated)	$48,000.00
Interest in Wisconsin retirement fund	$91,110.67
Deposits in Congressional Retirement Fund	$110,730.26
Deposits in Federal Thrift Savings Plan	$95,906.46
Traveller's checks	$7,418.96
20 ft. Manitou pontoon boat & 35 hp Force outboard motor (estimated)	$5,000.00
17 ft. Boston Whaler boat & 70 hp Johnson outboard motor (estimated)	$7,000.00
1994 Melges X Boat with sails	$5,000.00
TOTAL MISCELLANEOUS	$522,866.35
TOTAL ASSETS	$9,937,514.03

1998 disclosure

LIABILITIES	
Nations Bank Mortgage Company , Louisville, KY on Alexandria, VA residence Loan #39758-77	$109,443.77
Miscellaneous charge accounts (estimated)	$0.00
TOTAL LIABILITIES	$109,443.77
NET WORTH	$9,828,070.26

1998 disclosure

STATEMENT OF 1997 TAXES PAID

Federal income tax	$236,981.00
Wisconsin income tax	$45,090.00
Menomonee Falls, WI property tax	$2,062.00
Chenequa , WI property tax	$14,463.00
Alexandria, VA property tax	$6,783.00

I further declare that I am trustee of a trust established under the will of my late father, Frank James Sensenbrenner, Sr., for the benefit of my sister, Margaret A. Sensenbrenner, and of my two sons, F. James Sensenbrenner, III, and Robert Alan Sensenbrenner. I am further the direct beneficiary of two trusts, but have no control over the assets of either trust. My wife, Cheryl Warren Sensenbrenner, and I are trustees of separate trusts established for the benefit of each son under the Uniform Gifts to Minors Act. Also, I am neither an officer nor a director of any corporation organized under the laws of the State of Wisconsin or of any other state or foreign country.

F. JAMES SENSENBRENNER, JR.,
Member of Congress

BANK ONE TRUST COMPANY, NA
111 E WISCONSIN AVE
MILWAUKEE, WI 53202

STATEMENT OF ACCOUNT
FOR PERIOD 01/01/97 THROUGH 12/31/97

ROBERT ALAN SENSENBRENNER TR

ACCOUNT NUMBER 9572031510

FOR ASSISTANCE, PLEASE CONTACT
LYNN E PAULL
(414) 765-2751

F JAMES SENSENBRENNER JR
609 FORT WILLIAMS PKWY
ALEXANDRIA VA 22304-1813

BANK ONE.

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STATEMENT MESSAGES

ACCOUNT NO. 9572031510 ROBERT ALAN SENSENBRENNER TR

MUTUAL FUNDS, INCLUDING PROPRIETARY MUTUAL FUNDS, AND VARIOUS OTHER MARKETABLE SECURITIES ARE NOT INSURED OR GUARANTEED BY THE FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC) OR ANY OTHER GOVERNMENT SPONSORED AGENCY OF THE FEDERAL GOVERNMENT OR ANY STATE. ALL INVOLVE INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF PRINCIPAL AMOUNT INVESTED. "THE ONE GROUP" FUNDS ARE NOT DEPOSITS OR OBLIGATIONS OF, AND ARE NOT GUARANTEED BY, BANC ONE CORPORATION OR ITS BANK OR NON-BANK AFFILIATES.

****

ALTHOUGH MARKET VALUES AND PRICES HAVE BEEN OBTAINED FROM SOURCES WE BELIEVE TO BE RELIABLE, WE DO NOT GUARANTEE THEIR ACCURACY. CERTAIN FIXED INCOME SECURITIES AND ASSETS THAT ARE NOT PUBLICLY OR FREQUENTLY TRADED CANNOT BE READILY PRICED.

****

THIS STATEMENT IS NOT AN OFFICIAL DOCUMENT FOR INCOME TAX REPORTING PURPOSES.

****

"THE ONE GROUP GULF SOUTH GROWTH FUND" WAS RENAMED "THE ONE GROUP SMALL CAPITALIZATION FUND" AS OF NOVEMBER 1, 1997. IN ADDITION TO THE NAME CHANGE, THE FUND OBJECTIVES HAVE ALSO CHANGED. TO OBTAIN A COPY OF THE PROSPECTUS, PLEASE CONTACT THE ONE GROUP HELP DESK AT 1-800-480-4111. IF YOU HAVE ANY QUESTIONS ABOUT THESE CHANGES, PLEASE CONTACT YOUR RELATIONSHIP MANAGER.

****

TRANSACTION SUMMARY

ROBERT ALAN SENSENBRENNER TR

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572031510

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
BEGINNING BALANCES 12/31/96	0.00	0.00	79,745.34
CASH RECEIPTS			
NET INTEREST	147.83		
NET DIVIDENDS	1,545.49	10,088.90	
OTHER CASH RECEIPTS		1,083.32	
TOTAL CASH RECEIPTS	1,693.32	11,172.22	0.00
CASH DISBURSEMENTS			
FIDUCIARY INCOME TAXES		2,171.00-	
ADMINISTRATIVE EXPENSES	610.00-	250.00-	
OTHER DISBURSEMENTS	1,083.32-		
TOTAL CASH DISBURSEMENTS	1,693.32-	2,421.00-	0.00
INVESTMENT TRANSACTIONS			
PURCHASES		29,789.62-	29,789.62
SALES/MATURITIES		21,648.08	18,084.70-
NET PURCHASES/SALES CASH MANAGEMENT VEHICLE		609.68-	609.68
TOTAL INVESTMENT TRANSACTIONS		8,751.22-	12,314.60

BANK ONE.

TRANSACTION SUMMARY

ROBERT ALAN SENSENBRENNER TR

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572031510

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
ENDING BALANCES 12/31/97	0.00	0.00	92,059.94

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER TR | 12/31/96 THROUGH 12/31/97 | ACCOUNT NUMBER 95720I1510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/31/96	BEGINNING BALANCES	0.00	0.00	79,745.34
01/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 12/1/96 TO 12/31/96	24.51		
01/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01623/SH ON 865.90 SHARES DUE 1/ 2/97	14.06		
01/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	19.25		
01/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 12/1/96 TO 12/31/96	8.60		
01/02/97	INCOME ON THE ONE GROUP INTL EQUITY INDEX FD $ 0.06595/SH ON 499.85 SHARES DUE 1/ 2/97	32.97		
01/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	23.26		
01/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	14.16		

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)1/02/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.01711/SH ON 1,212.41 SHARES DUE 1/ 2/97	20.75		
)1/03/97	PURCHASED 157.56 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/ 3/97		157.56-	157.56
)1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END		12.50-	
)1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END	42.50-		
)1/10/97	SOLD 55 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/10/97		55.00	55.00-
)2/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 1/1/97 TO 1/31/97	31.67		
)2/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01240/SH ON 865.90 SHARES DUE 2/ 3/97	10.74		

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	19.48		
12/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 1/1/97 TO 1/31/97	8.58		
12/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.01523/SH ON 1,787.77 SHARES DUE 2/ 3/97	27.22		
12/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	23.32		
12/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	14.09		
12/03/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00225/SH ON 1,212.41 SHARES DUE 2/ 3/97	2.73		
12/04/97	PURCHASED 137.83 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 2/ 4/97		137.83-	137.83

BANK ONE.

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
02/10/97	PURCHASED 1,004.514 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 2/ 7/97 1,004.514 SHARES AT $10.23		10,276.18-	10,276.18
02/10/97	PURCHASED 199.812 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 2/ 7/97 199.812 SHARES AT $17.78		3,552.66-	3,552.66
02/10/97	PURCHASED 169.131 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 2/ 7/97 169.131 SHARES AT $14.55		2,460.86-	2,460.86
02/10/97	PURCHASED 188.156 SH THE ONE GROUP GULF SOUTH GROWTH FD TRADE DATE 2/ 7/97 188.156 SHARES AT $9.93		1,868.39-	1,868.39
02/10/97	PURCHASED 63.803 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 2/ 7/97 63.803 SHARES AT $14.89		950.03-	950.03

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
02/10/97	PURCHASED 13.197 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 2/ 7/97 13.197 SHARES AT $9.74		128.54-	128.54
02/10/97	SOLD 428.637 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 2/ 7/97 428.637 SHARES AT $17.12		7,338.27	5,413.97-
02/10/97	SOLD 463.017 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 2/ 7/97 463.017 SHARES AT $13.52		6,259.99	5,778.99-
02/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END		12.50-	
02/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END	42.50-		

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
02/10/97	SOLD 5,693.4 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 2/10/97		5,693.40	5,693.40-
03/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 2/1/97 TO 2/28/97	14.01		
03/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01998/SH ON 1,035.03 SHARES DUE 3/ 3/97	20.68		
03/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	18.22		
03/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 2/1/97 TO 2/28/97	8.11		
03/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.04043/SH ON 1,324.75 SHARES DUE 3/ 3/97	53.56		
03/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	23.45		

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
03/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	13.58		
03/03/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00926/SH ON 783.78 SHARES DUE 3/ 3/97	7.26		
03/03/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01312/SH ON 1,004.51 SHARES DUE 3/ 3/97	13.18		
03/04/97	PURCHASED 172.05 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/ 4/97		172.05-	172.05
03/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END		12.50-	
03/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END	42.50-		
03/10/97	SOLD 55 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/10/97		55.00	55.00-

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 3/1/97 TO 3/31/97	8.27		
04/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01239/SH ON 1,035.03 SHARES DUE 4/ 1/97	12.82		
04/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	19.80		
04/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 3/1/97 TO 3/31/97	8.59		
04/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00712/SH ON 1,324.75 SHARES DUE 4/ 1/97	9.43		
04/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	23.93		
04/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	14.44		

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TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.01371/SH ON 783.78 SHARES DUE 4/ 1/97	10.74		
04/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00743/SH ON 1,004.51 SHARES DUE 4/ 1/97	7.47		
04/02/97	PURCHASED 115.49 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/ 2/97		115.49-	115.49
04/07/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN		142.00-	
04/07/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY STATE INCOME TAX TAX DUE ON FORM 2 FOR CALENDAR YEAR RETURN		17.00-	
04/07/97	SOLD 159 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/ 7/97		159.00	159.00-

BANK ONE.

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)4/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END		12.50-	
)4/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END	42.50-		
)4/10/97	SOLD 55 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/10/97		55.00	55.00-
)4/11/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE FIDUCIARY EST FED INCOME TAX		1,732.00-	
)4/11/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX		280.00-	
)4/11/97	SOLD 1,831.94 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/11/97		1,831.94	1,831.94-

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/15/97	SOLD 18.519 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 4/14/97 18.519 SHARES AT $16.20		300.00	218.71-
4/15/97	PURCHASED 119.94 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/15/97		119.94-	119.94
5/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 4/1/97 TO 4/30/97	3.03		
5/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01610/SH ON 1,035.03 SHARES DUE 5/ 1/97	16.67		
5/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	19.53		
5/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 4/1/97 TO 4/30/97	8.51		
5/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.01332/SH ON 1,324.75 SHARES DUE 5/ 1/97	17.65		

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
05/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	23.49		
05/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	14.00		
05/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00300/SH ON 1,004.51 SHARES DUE 5/ 1/97	3.02		
05/02/97	PURCHASED 105.9 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/ 2/97		105.90-	105.90
05/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END		25.00-	
05/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END	55.00-		
05/12/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/12/97		80.00	80.00-

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
05/21/97	PURCHASED 409.476 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 5/20/97 409.476 SHARES AT $10.93		4,475.57-	4,475.57
05/21/97	PURCHASED 46.142 SH THE ONE GROUP INCOME BOND FD TRADE DATE 5/20/97 46.142 SHARES AT $9.35		431.43-	431.43
05/21/97	PURCHASED 22.799 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 5/20/97 22.799 SHARES AT $18.50		421.78-	421.78
05/21/97	PURCHASED 40.805 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 5/20/97 40.805 SHARES AT $9.62		392.54-	392.54
05/21/97	PURCHASED 33.401 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 5/20/97 33.401 SHARES AT $9.86		329.33-	329.33

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ROBERT ALAN SENSENBRENNER TR

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
05/21/97	PURCHASED 21.93 SH THE ONE GROUP LTD VOLATILITY BD FD TRADE DATE 5/20/97 21.93 SHARES AT $10.43		228.73-	228.73
05/21/97	PURCHASED 6.531 SH THE ONE GROUP GULF SOUTH GROWTH FD TRADE DATE 5/20/97 6.531 SHARES AT $9.91		64.72-	64.72
05/21/97	SOLD 300.713 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 5/20/97 300.713 SHARES AT $14.24		4,282.16	3,542.40-
05/21/97	SOLD 138.159 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 5/20/97 138.159 SHARES AT $15.01		2,073.77	2,010.22-
05/21/97	PURCHASED 11.83 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/21/97		11.83-	11.83

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
6/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 5/1/97 TO 5/31/97	0.77		
6/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01535/SH ON 896.88 SHARES DUE 6/ 2/97	13.77		
6/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	21.03		
6/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 5/1/97 TO 5/31/97	9.37		
6/02/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.04681/SH ON 1,024.04 SHARES DUE 6/ 2/97	47.93		
6/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	24.17		
6/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	14.93		

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
06/02/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00674/SH ON 788.06 SHARES DUE 6/ 2/97	5.32		
06/02/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01361/SH ON 1,413.99 SHARES DUE 6/ 2/97	19.24		
06/03/97	PURCHASED 156.53 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 6/ 3/97		156.53-	156.53
06/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END		25.00-	
06/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END	55.00-		
06/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 6/10/97		80.00	80.00-
07/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 6/1/97 TO 6/30/97	1.07		

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
07/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01392/SH ON 896.88 SHARES DUE 7/ 1/97	12.48		
07/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	21.94		
07/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 6/1/97 TO 6/30/97	10.00		
07/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00756/SH ON 1,024.04 SHARES DUE 7/ 1/97	7.74		
07/01/97	INCOME ON THE ONE GROUP INTL EQUITY INDEX FD $ 0.16199/SH ON 563.65 SHARES DUE 7/ 1/97	91.30		
07/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	25.09		
07/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	15.77		

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)7/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00497/SH ON 788.06 SHARES DUE 7/ 1/97	3.92		
)7/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00621/SH ON 1,413.99 SHARES DUE 7/ 1/97	8.78		
)7/02/97	PURCHASED 198.09 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 7/ 2/97		198.09-	198.09
)7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END		25.00-	
)7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END	55.00-		
)7/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 7/10/97		80.00	80.00-
)8/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 7/1/97 TO 7/31/97	1.65		

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
8/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01188/SH ON 896.88 SHARES DUE 8/ 1/97	10.66		
8/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	22.50		
8/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 7/1/97 TO 7/31/97	10.09		
8/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00942/SH ON 1,024.04 SHARES DUE 8/ 1/97	9.64		
8/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	25.43		
8/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	15.79		
8/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00474/SH ON 788.06 SHARES DUE 8/ 1/97	3.74		

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
08/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00478/SH ON 1,413.99 SHARES DUE 8/ 1/97	6.75		
08/04/97	PURCHASED 106.25 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/ 4/97		106.25-	106.25
08/08/97	SOLD 63.015 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 8/ 7/97 63.015 SHARES AT $22.12		1,393.89	1,120.41-
08/08/97	PURCHASED 1,393.89 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/ 8/97		1,393.89-	1,393.89
08/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END		25.00-	
08/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END	55.00-		

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
08/11/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/11/97		80.00	80.00-
09/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01443/SH ON 896.88 SHARES DUE 9/ 2/97	12.94		
09/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	25.44		
09/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	22.63		
09/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	15.85		
09/02/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.05364/SH ON 1,024.04 SHARES DUE 9/ 2/97	54.93		
09/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 8/1/97 TO 8/31/97	9.90		

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)9/02/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01012/SH ON 1,413.99 SHARES DUE 9/ 2/97	14.32		
)9/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 8/1/97 TO 8/31/97	6.55		
)9/03/97	PURCHASED 162.56 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/ 3/97		162.56-	162.56
)9/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END		25.00-	
)9/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END	55.00-		
)9/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/10/97		80.00	80.00-
)9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		864.02	
)9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		224.11	

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		0.56	
)9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		540.59	
)9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		32.04	
)9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		373.85	
)9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTL EQUITY INDEX FD		74.45	
)9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE CO GROWTH FD		1,215.92	
)9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		291.18	
)9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		743.32	
)9/22/97	PURCHASED 4,360.04 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/22/97		4,360.04-	4,360.04

BANK ONE.

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
10/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 9/1/97 TO 9/30/97	13.66		
10/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01077/SH ON 896.88 SHARES DUE 10/ 1/97	9.66		
10/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	21.84		
10/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 9/1/97 TO 9/30/97	9.74		
10/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00611/SH ON 1,024.04 SHARES DUE 10/ 1/97	6.26		
10/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	25.16		
10/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	15.55		

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
10/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00722/SH ON 788.06 SHARES DUE 10/ 1/97	5.69		
10/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00809/SH ON 1,413.99 SHARES DUE 10/ 1/97	11.44		
10/02/97	PURCHASED 119 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 10/ 2/97		119.00-	119.00
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END		25.00-	
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END	55.00-		
10/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 10/10/97		80.00	80.00-
11/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 10/1/97 TO 10/31/97	28.03		

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01846/SH ON 896.88 SHARES DUE 11/ 3/97	16.56		
11/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	22.86		
11/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 10/1/97 TO 10/31/97	9.88		
11/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00354/SH ON 1,024.04 SHARES DUE 11/ 3/97	3.63		
11/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	25.19		
11/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	16.06		
11/03/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00410/SH ON 1,413.99 SHARES DUE 11/ 3/97	5.80		

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/04/97	PURCHASED 128.01 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 11/ 4/97		128.01-	128.01
11/10/97	PURCHASED 137.11 SH THE ONE GROUP SMALL CAPITALIZATN FD TRADE DATE 11/ 7/97 137.11 SHARES AT $12.90		1,768.72-	1,768.72
11/10/97	PURCHASED 57.762 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 11/ 7/97 57.762 SHARES AT $15.32		884.91-	884.91
11/10/97	PURCHASED 59.112 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 11/ 7/97 59.112 SHARES AT $11.61		686.29-	686.29
11/10/97	PURCHASED 50.052 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 11/ 7/97 50.052 SHARES AT $9.95		498.02-	498.02

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/10/97	PURCHASED 38.921 SH THE ONE GROUP INCOME BOND FD TRADE DATE 11/ 7/97 38.921 SHARES AT $9.53		370.92-	370.92
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END		25.00-	
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END	55.00-		
11/10/97	SOLD 4,288.86 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 11/10/97		4,288.86	4,288.86-
12/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 11/1/97 TO 11/30/97	14.61		
12/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.00855/SH ON 896.88 SHARES DUE 12/ 1/97	7.67		
12/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	23.48		

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TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 11/1/97 TO 11/30/97	9.65		
12/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.02006/SH ON 1,024.04 SHARES DUE 12/ 1/97	20.54		
12/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	26.66		
12/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	15.56		
12/01/97	INCOME ON THE ONE GROUP LARGE COMPANY GRWTH FD $ 0.00339/SH ON 788.06 SHARES DUE 12/ 1/97	2.67		
12/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00897/SH ON 1,473.10 SHARES DUE 12/ 1/97	13.21		
12/02/97	PURCHASED 134.05 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/ 2/97		134.05-	134.05

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END		25.00-	
12/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END	55.00-		
12/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/10/97		80.00	80.00-
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		828.61	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		537.03	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		172.96	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		1,039.06	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTL EQUITY INDEX FD		185.68	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY GRWTH FD		928.09	

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ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY GRWTH FD		127.75	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		441.44	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		105.59	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP SMALL CAPITALIZATN FD		336.15	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP SMALL CAPITALIZATN FD		104.53	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		356.51	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		565.46	
12/19/97	PURCHASED 5,728.86 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/19/97		5,728.86-	5,728.86

BANK ONE.

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TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031510

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/31/97	CASH DISBURSEMENT TRANSFER TO PRINCIPAL	1,083.32-		
12/31/97	CASH RECEIPT TRANSFER FROM INCOME		1,083.32	
12/31/97	ENDING BALANCES	0.00	0.00	92,059.94

INCOME CASH	+	PRINCIPAL CASH	=	NET CASH
0.00		0.00		0.00

INVESTMENT REVIEW

ROBERT ALAN SENSENBRENNER TR

SUMMARY OF ASSETS AS OF 12/31/97

ACCOUNT NUMBER: 9572031510

DESCRIPTION	TAX COST	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	YIELD AT MARKET
CASH EQUIVALENTS	7,876.09	7,876.09	7.14	427.37	5.43
MUTUAL FUNDS - FIXED INCOME	14,061.55	14,584.66	13.23	930.76	6.38
COMMON & MUTUAL FUNDS - EQUITIES	70,122.30	87,815.53	79.63	693.09	0.79
TOTAL ACCOUNT	92,059.94	110,276.28	100.00	2,051.22	1.86

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BANK ONE.

ROBERT ALAN SENSENBRENNER TR — DETAIL OF ASSETS AS OF 12/31/97 — ACCOUNT NUMBER: 9572031510

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
CASH							
0.00	INCOME CASH	0.00		0.00	0.00		
0.00	PRINCIPAL CASH	0.00		0.00	0.00		
0.00	NET CASH	0.00		0.00	0.00		
CASH EQUIVALENTS							
7,876.09	THE ONE GROUP PRIME MONEY MARKET FD	7,876.09	1.00	7,876.09	7.14	427.37	5.43
MUTUAL FUNDS - FIXED INCOME							
547.53	THE ONE GROUP GOVERNMENT BOND FD	5,151.37	10.01	5,480.75	4.97	325.83	5.95
448.39	THE ONE GROUP INCOME BOND FD	4,170.47	9.48	4,250.78	3.85	291.50	6.86
291.22	THE ONE GROUP INTERMEDIATE BOND FD	2,816.00	10.06	2,929.67	2.66	197.18	6.73

ROBERT ALAN SENSENBRENNER TR — DETAIL OF ASSETS AS OF 12/31/97 — ACCOUNT NUMBER: 9572031510

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
183.54	THE ONE GROUP LTD VOLATILITY BD FD	1,923.71	10.48	1,923.46	1.74	116.25	6.04
TOTAL MUTUAL FUNDS - FIXED INCOME		14,061.55		14,584.66	13.23	930.76	6.38
COMMON & MUTUAL FUNDS - EQUITIES							
896.88	THE ONE GROUP DISCIPLINED VALUE FD	10,993.96	16.08	14,421.75	13.08	149.73	1.04
680.21	THE ONE GROUP GRWTH OPPORTUNITIES FD	10,512.93	19.44	13,223.38	11.99	0.00	0.00
621.41	THE ONE GROUP INTL EQUITY INDEX FD	8,509.34	15.23	9,464.15	8.58	114.01	1.20
788.06	THE ONE GROUP LARGE COMPANY GRWTH FD	9,245.07	18.24	14,374.16	13.03	47.55	0.33
1,024.04	THE ONE GROUP LARGE COMPANY VALUE FD	11,721.13	15.19	15,555.18	14.11	246.04	1.58
331.8	THE ONE GROUP SMALL CAPITALIZATN FD	3,701.83	11.34	3,762.58	3.41	0.00	0.00
1,473.1	THE ONE GROUP VALUE GROWTH FD	15,438.04	11.55	17,014.33	15.43	135.76	0.80
TOTAL COMMON & MUTUAL FUNDS - EQUITIES		70,122.30		87,815.53	79.63	693.09	0.79
TOTAL ACCOUNT		92,059.94		110,276.28	100.00	2,051.22	1.86

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ROBERT ALAN SENSENBRENNER TR DETAIL OF PENDING ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572031510

PENDING TRADES: NONE

BANK ONE TRUST COMPANY, NA
111 E WISCONSIN AVE
MILWAUKEE, WI 53202

STATEMENT OF ACCOUNT
FOR PERIOD 01/01/97 THROUGH 12/31/97

F JAMES SENSENBRENNER III TR

ACCOUNT NUMBER 9572031010

FOR ASSISTANCE, PLEASE CONTACT
LYNN E PAULL
(414) 765-2751

F JAMES SENSENBRENNER JR
609 FORT WILLIAMS PKWY
ALEXANDRIA VA 22304-1813

BANK ONE.

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STATEMENT MESSAGES

ACCOUNT NO. 9572031010 F JAMES SENSENBRENNER III TR

MUTUAL FUNDS, INCLUDING PROPRIETARY MUTUAL FUNDS, AND VARIOUS OTHER MARKETABLE SECURITIES ARE NOT INSURED OR GUARANTEED BY THE FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC) OR ANY OTHER GOVERNMENT SPONSORED AGENCY OF THE FEDERAL GOVERNMENT OR ANY STATE. ALL INVOLVE INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF PRINCIPAL AMOUNT INVESTED. "THE ONE GROUP" FUNDS ARE NOT DEPOSITS OR OBLIGATIONS OF, AND ARE NOT GUARANTEED BY, BANC ONE CORPORATION OR ITS BANK OR NON-BANK AFFILIATES.

****

ALTHOUGH MARKET VALUES AND PRICES HAVE BEEN OBTAINED FROM SOURCES WE BELIEVE TO BE RELIABLE, WE DO NOT GUARANTEE THEIR ACCURACY. CERTAIN FIXED INCOME SECURITIES AND ASSETS THAT ARE NOT PUBLICLY OR FREQUENTLY TRADED CANNOT BE READILY PRICED.

****

THIS STATEMENT IS NOT AN OFFICIAL DOCUMENT FOR INCOME TAX REPORTING PURPOSES.

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"THE ONE GROUP GULF SOUTH GROWTH FUND" WAS RENAMED "THE ONE GROUP SMALL CAPITALIZATION FUND" AS OF NOVEMBER 1, 1997. IN ADDITION TO THE NAME CHANGE, THE FUND OBJECTIVES HAVE ALSO CHANGED. TO OBTAIN A COPY OF THE PROSPECTUS, PLEASE CONTACT THE ONE GROUP HELP DESK AT 1-800-480-4111. IF YOU HAVE ANY QUESTIONS ABOUT THESE CHANGES, PLEASE CONTACT YOUR RELATIONSHIP MANAGER.

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TRANSACTION SUMMARY

F JAMES SENSENBRENNER III TR — 12/31/96 THROUGH 12/31/97 — ACCOUNT NUMBER 9572031010

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
BEGINNING BALANCES 12/31/96	0.00	0.00	78,541.22
CASH RECEIPTS			
NET INTEREST	146.28		
NET DIVIDENDS	1,522.44	9,934.66	
OTHER CASH RECEIPTS		1,058.72	
TOTAL CASH RECEIPTS	1,668.72	10,993.38	0.00
CASH DISBURSEMENTS			
FIDUCIARY INCOME TAXES		2,213.00-	
ADMINISTRATIVE EXPENSES	610.00-	250.00-	
OTHER DISBURSEMENTS	1,058.72-		
TOTAL CASH DISBURSEMENTS	1,668.72-	2,463.00-	0.00
INVESTMENT TRANSACTIONS			
PURCHASES		29,421.24-	29,421.24
SALES/MATURITIES		21,487.16	17,870.56-
NET PURCHASES/SALES CASH MANAGEMENT VEHICLE		596.30-	596.30
TOTAL INVESTMENT TRANSACTIONS		8,530.38-	12,146.98

BANK ONE.

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TRANSACTION SUMMARY

F JAMES SENSENBRENNER III TR

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572031010

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
ENDING BALANCES 12/31/97	0.00	0.00	90,688.20

TRANSACTION DETAIL

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/31/96	BEGINNING BALANCES	0.00	0.00	78,541.22
1/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 12/1/96 TO 12/31/96	24.14		
1/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01623/SH ON 853.59 SHARES DUE 1/ 2/97	13.86		
1/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	18.97		
1/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 12/1/96 TO 12/31/96	8.44		
1/02/97	INCOME ON THE ONE GROUP INTL EQUITY INDEX FD $ 0.06595/SH ON 492.74 SHARES DUE 1/ 2/97	32.50		
1/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	22.95		
1/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	13.95		

BANK ONE.

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F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)1/02/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.01711/SH ON 1,195.14 SHARES DUE 1/ 2/97	20.45		
)1/03/97	PURCHASED 155.26 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/ 3/97		155.26-	155.26
)1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END		12.50-	
)1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END	42.50-		
)1/10/97	SOLD 55 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/10/97		55.00	55.00-
)2/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 1/1/97 TO 1/31/97	31.19		
)2/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01240/SH ON 853.59 SHARES DUE 2/ 3/97	10.59		

TRANSACTION DETAIL

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	19.19		
2/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 1/1/97 TO 1/31/97	8.38		
2/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.01523/SH ON 1,762.34 SHARES DUE 2/ 3/97	26.83		
2/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	22.95		
2/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	13.87		
2/03/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00225/SH ON 1,195.14 SHARES DUE 2/ 3/97	2.70		
2/04/97	PURCHASED 135.7 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 2/ 4/97		135.70-	135.70

BANK ONE.

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F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/10/97	PURCHASED 990.14 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 2/ 7/97 990.14 SHARES AT $10.23		10,129.13-	10,129.13
2/10/97	PURCHASED 196.909 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 2/ 7/97 196.909 SHARES AT $17.78		3,501.04-	3,501.04
2/10/97	PURCHASED 166.636 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 2/ 7/97 166.636 SHARES AT $14.55		2,424.56-	2,424.56
2/10/97	PURCHASED 185.464 SH THE ONE GROUP GULF SOUTH GROWTH FD TRADE DATE 2/ 7/97 185.464 SHARES AT $9.93		1,841.66-	1,841.66
2/10/97	PURCHASED 62.849 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 2/ 7/97 62.849 SHARES AT $14.89		935.82-	935.82

TRANSACTION DETAIL

IES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

ID	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
97	PURCHASED 12.911 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 2/ 7/97 12.911 SHARES AT $9.74		125.75-	125.75
97	SOLD 422.58 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 2/ 7/97 422.58 SHARES AT $17.12		7,234.57	5,337.55-
97	SOLD 456.538 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 2/ 7/97 456.538 SHARES AT $13.52		6,172.40	5,628.31-
97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END		12.50-	
97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END	42.50-		

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TRANSACTION DETAIL

IES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

:D	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)7	SOLD 5,605.99 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 2/10/97		5,605.99	5,605.99-
)7	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 2/1/97 TO 2/28/97	13.80		
)7	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01998/SH ON 1,020.22 SHARES DUE 3/ 3/97	20.39		
)7	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	17.94		
)7	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 2/1/97 TO 2/28/97	7.96		
)7	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.04043/SH ON 1,305.80 SHARES DUE 3/ 3/97	52.80		
)7	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	23.11		

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
03/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	13.45		
03/03/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00926/SH ON 772.56 SHARES DUE 3/ 3/97	7.15		
03/03/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01312/SH ON 990.14 SHARES DUE 3/ 3/97	12.99		
03/04/97	PURCHASED 169.59 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/ 4/97		169.59-	169.59
03/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END		12.50-	
03/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END	42.50-		
03/10/97	SOLD 55 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/10/97		55.00	55.00-

BANK ONE

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 3/1/97 TO 3/31/97	8.15		
4/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01239/SH ON 1,020.22 SHARES DUE 4/ 1/97	12.64		
4/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	19.51		
4/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 3/1/97 TO 3/31/97	8.42		
4/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00712/SH ON 1,305.80 SHARES DUE 4/ 1/97	9.30		
4/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	23.58		
4/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	14.23		

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.01371/SH ON 772.56 SHARES DUE 4/ 1/97	10.59		
4/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00743/SH ON 990.14 SHARES DUE 4/ 1/97	7.36		
4/02/97	PURCHASED 113.78 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/ 2/97		113.78-	113.78
4/07/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN		180.00-	
4/07/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY STATE INCOME TAX TAX DUE ON FORM 2 FOR CALENDAR YEAR RETURN		21.00-	
4/07/97	SOLD 201 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/ 7/97		201.00	201.00-

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BANK ONE.

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END		12.50-	
4/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END	42.50-		
4/10/97	SOLD 55 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/10/97		55.00	55.00-
4/11/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE FIDUCIARY EST FED INCOME TAX		1,732.00-	
4/11/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX		280.00-	
4/11/97	SOLD 1,759.03 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/11/97		1,759.03	1,759.03-

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/15/97	SOLD 24.691 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 4/14/97 24.691 SHARES AT $16.20		400.00	291.60-
4/15/97	PURCHASED 147.03 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/15/97		147.03-	147.03
5/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 4/1/97 TO 4/30/97	3.03		
5/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01610/SH ON 1,020.22 SHARES DUE 5/ 1/97	16.43		
5/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	19.24		
5/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 4/1/97 TO 4/30/97	8.45		
5/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.01332/SH ON 1,305.80 SHARES DUE 5/ 1/97	17.40		

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
5/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	23.15		
5/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	13.77		
5/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00300/SH ON 990.14 SHARES DUE 5/ 1/97	2.98		
5/02/97	PURCHASED 104.45 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/ 2/97		104.45-	104.45
5/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END		25.00-	
5/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END	55.00-		
5/12/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/12/97		80.00	80.00-

3569

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)5/21/97	PURCHASED 402.306 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 5/20/97 402.306 SHARES AT $10.93		4,397.21-	4,397.21
)5/21/97	PURCHASED 28.083 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 5/20/97 28.083 SHARES AT $18.50		519.54-	519.54
)5/21/97	PURCHASED 45.07 SH THE ONE GROUP INCOME BOND FD TRADE DATE 5/20/97 45.07 SHARES AT $9.35		421.40-	421.40
)5/21/97	PURCHASED 39.819 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 5/20/97 39.819 SHARES AT $9.62		383.06-	383.06
)5/21/97	PURCHASED 32.63 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 5/20/97 32.63 SHARES AT $9.86		321.73-	321.73

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
05/21/97	PURCHASED 21.431 SH THE ONE GROUP LTD VOLATILITY BD FD TRADE DATE 5/20/97 21.431 SHARES AT $10.43		223.53-	223.53
05/21/97	PURCHASED 2.467 SH THE ONE GROUP GULF SOUTH GROWTH FD TRADE DATE 5/20/97 2.467 SHARES AT $9.91		24.45-	24.45
05/21/97	SOLD 297.353 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 5/20/97 297.353 SHARES AT $14.24		4,234.31	3,502.82-
05/21/97	SOLD 137.016 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 5/20/97 137.016 SHARES AT $15.01		2,056.61	1,993.59-
06/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 5/1/97 TO 5/31/97	0.87		

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F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
6/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01535/SH ON 883.21 SHARES DUE 6/ 2/97	13.56		
6/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	20.73		
6/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 5/1/97 TO 5/31/97	9.17		
6/02/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.04681/SH ON 1,008.45 SHARES DUE 6/ 2/97	47.20		
6/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	23.82		
6/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	14.76		
6/02/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00674/SH ON 775.95 SHARES DUE 6/ 2/97	5.23		

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
6/02/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01361/SH ON 1,392.45 SHARES DUE 6/ 2/97	18.95		
6/03/97	PURCHASED 154.29 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 6/ 3/97		154.29-	154.29
6/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END		25.00-	
6/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END	55.00-		
6/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 6/10/97		80.00	80.00-
7/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 6/1/97 TO 6/30/97	1.12		
7/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01392/SH ON 883.21 SHARES DUE 7/ 1/97	12.29		

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	21.59		
1/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 6/1/97 TO 6/30/97	9.86		
1/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00756/SH ON 1,008.45 SHARES DUE 7/ 1/97	7.62		
1/01/97	INCOME ON THE ONE GROUP INTL EQUITY INDEX FD $ 0.16199/SH ON 555.59 SHARES DUE 7/ 1/97	90.00		
1/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	24.70		
1/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	15.50		
1/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00497/SH ON 775.95 SHARES DUE 7/ 1/97	3.86		

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BANK ONE.

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)7/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00621/SH ON 1,392.45 SHARES DUE 7/ 1/97	8.64		
)7/02/97	PURCHASED 195.18 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 7/ 2/97		195.18-	195.18
)7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END		25.00-	
)7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END	55.00-		
)7/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 7/10/97		80.00	80.00-
)8/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 7/1/97 TO 7/31/97	1.69		
)8/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01188/SH ON 883.21 SHARES DUE 8/ 1/97	10.49		

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F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)8/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	22.13		
)8/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 7/1/97 TO 7/31/97	9.90		
)8/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00942/SH ON 1,008.45 SHARES DUE 8/ 1/97	9.50		
)8/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	25.07		
)8/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	15.52		
)8/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00474/SH ON 775.95 SHARES DUE 8/ 1/97	3.68		
)8/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00478/SH ON 1,392.45 SHARES DUE 8/ 1/97	6.65		

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
8/04/97	PURCHASED 104.63 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/ 4/97		104.63-	104.63
8/08/97	SOLD 62.806 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 8/ 7/97 62.806 SHARES AT $22.12		1,389.27	1,116.69-
8/08/97	PURCHASED 1,389.27 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/ 8/97		1,389.27-	1,389.27
8/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END		25.00-	
8/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END	55.00-		
8/11/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/11/97		80.00	80.00-
9/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01443/SH ON 883.21 SHARES DUE 9/ 2/97	12.75		

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
9/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	25.02		
9/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	22.28		
9/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	15.63		
9/02/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.05364/SH ON 1,008.45 SHARES DUE 9/ 2/97	54.10		
9/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 8/1/97 TO 8/31/97	9.81		
9/02/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01012/SH ON 1,392.45 SHARES DUE 9/ 2/97	14.10		
9/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 8/1/97 TO 8/31/97	6.57		

BANK ONE.

3578

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
9/03/97	PURCHASED 160.26 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/ 3/97		160.26-	160.26
9/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END		25.00-	
9/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END	55.00-		
9/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/10/97		80.00	80.00-
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		850.85	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		220.70	
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		0.55	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		532.30	

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		31.55	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		368.16	
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTL EQUITY INDEX FD		73.38	
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE CO GROWTH FD		1,197.24	
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		286.75	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		731.99	
9/22/97	PURCHASED 4,293.47 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/22/97		4,293.47-	4,293.47
0/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 9/1/97 TO 9/30/97	13.57		
0/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01077/SH ON 883.21 SHARES DUE 10/ 1/97	9.51		

BANK ONE.

3580

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
10/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	21.53		
10/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 9/1/97 TO 9/30/97	9.59		
10/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00611/SH ON 1,008.45 SHARES DUE 10/ 1/97	6.16		
10/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	24.75		
10/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	15.32		
10/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00722/SH ON 775.95 SHARES DUE 10/ 1/97	5.60		
10/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00809/SH ON 1,392.45 SHARES DUE 10/ 1/97	11.27		

3581

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
10/02/97	PURCHASED 117.3 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 10/ 2/97		117.30-	117.30
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END		25.00-	
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END	55.00-		
10/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 10/10/97		80.00	80.00-
11/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 10/1/97 TO 10/31/97	27.73		
11/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01846/SH ON 883.21 SHARES DUE 11/ 3/97	16.30		
11/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	22.51		

3582

BANK ONE.

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 10/1/97 TO 10/31/97	9.76		
1/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00354/SH ON 1,008.45 SHARES DUE 11/ 3/97	3.57		
1/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	24.81		
1/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	15.81		
1/03/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00410/SH ON 1,392.45 SHARES DUE 11/ 3/97	5.71		
1/04/97	PURCHASED 126.2 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 11/ 4/97		126.20-	126.20
1/10/97	PURCHASED 138.854 SH THE ONE GROUP SMALL CAPITALIZATN FD TRADE DATE 11/ 7/97 138.854 SHARES AT $12.90		1,791.22-	1,791.22

3583

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/10/97	PURCHASED 56.239 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 11/ 7/97 56.239 SHARES AT $15.32		861.58-	861.58
11/10/97	PURCHASED 57.965 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 11/ 7/97 57.965 SHARES AT $11.61		672.97-	672.97
11/10/97	PURCHASED 49.203 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 11/ 7/97 49.203 SHARES AT $9.95		489.57-	489.57
11/10/97	PURCHASED 37.463 SH THE ONE GROUP INCOME BOND FD TRADE DATE 11/ 7/97 37.463 SHARES AT $9.53		357.02-	357.02
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END		25.00-	

BANK ONE.

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END	55.00-		
1/10/97	SOLD 4,252.36 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 11/10/97		4,252.36	4,252.36-
2/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 11/1/97 TO 11/30/97	14.42		
2/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.00855/SH ON 883.21 SHARES DUE 12/ 1/97	7.55		
2/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	23.10		
2/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 11/1/97 TO 11/30/97	9.54		
2/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.02006/SH ON 1,008.45 SHARES DUE 12/ 1/97	20.23		

3585

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	26.28		
2/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	15.32		
2/01/97	INCOME ON THE ONE GROUP LARGE COMPANY GRWTH FD $ 0.00339/SH ON 775.95 SHARES DUE 12/ 1/97	2.63		
2/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00897/SH ON 1,450.41 SHARES DUE 12/ 1/97	13.01		
2/02/97	PURCHASED 132.08 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/ 2/97		132.08-	132.08
2/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END		25.00-	
2/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END	55.00-		

F JAMES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/10/97	SOLD 80 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/10/97		80.00	80.00-
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		815.98	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		528.85	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		170.31	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		1,023.13	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTL EQUITY INDEX FD		182.81	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY GRWTH FD		913.83	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY GRWTH FD		125.79	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		434.72	

ES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

D	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
7	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		103.98	
7	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP SMALL CAPITALIZATN FD		331.07	
7	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP SMALL CAPITALIZATN FD		102.95	
7	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		351.01	
7	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		556.76	
7	PURCHASED 5,641.19 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/19/97		5,641.19-	5,641.19
7	CASH DISBURSEMENT TRANSFER TO PRINCIPAL	1,058.72-		
7	CASH RECEIPT TRANSFER FROM INCOME		1,058.72	
7	ENDING BALANCES	0.00	0.00	90,688.20

BANK ONE.

3588

TRANSACTION DETAIL

MES SENSENBRENNER III TR 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572031010

ED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST

INCOME CASH	+	PRINCIPAL CASH	=	NET CASH
0.00		0.00		0.00

F JAMES SENSENBRENNER III TR

SUMMARY OF ASSETS AS OF 12/31/97

ACCOUNT NUMBER: 9572031010

DESCRIPTION	TAX COST	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	YIELD AT MARKET
CASH EQUIVALENTS	7,752.99	7,752.99	7.14	420.69	5.43
MUTUAL FUNDS - FIXED INCOME	13,837.20	14,353.26	13.22	915.95	6.38
COMMON & MUTUAL FUNDS - EQUITIES	69,098.01	86,470.45	79.64	682.48	0.79
TOTAL ACCOUNT	90,688.20	108,576.70	100.00	2,019.12	1.86

BANK ONE.

3590

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
CASH							
0.00	INCOME CASH	0.00		0.00	0.00		
0.00	PRINCIPAL CASH	0.00		0.00	0.00		
0.00	NET CASH	0.00		0.00	0.00		
CASH EQUIVALENTS							
7,752.99	THE ONE GROUP PRIME MONEY MARKET FD	7,752.99	1.00	7,752.99	7.14	420.69	5.43
MUTUAL FUNDS - FIXED INCOME							
539.09	THE ONE GROUP GOVERNMENT BOND FD	5,071.90	10.01	5,396.34	4.97	320.81	5.94
440.69	THE ONE GROUP INCOME BOND FD	4,097.02	9.48	4,177.78	3.85	286.49	6.86
286.78	THE ONE GROUP INTERMEDIATE BOND FD	2,773.89	10.06	2,885.01	2.66	194.17	6.73

F JAMES SENSENBRENNER III TR — DETAIL OF ASSETS AS OF 12/31/97 — ACCOUNT NUMBER: 9572031010

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
180.74	THE ONE GROUP LTD VOLATILITY BD FD	1,894.39	10.48	1,894.13	1.74	114.48	6.04
	TOTAL MUTUAL FUNDS - FIXED INCOME	13,837.20		14,353.26	13.22	915.95	6.38
	COMMON & MUTUAL FUNDS - EQUITIES						
883.21	THE ONE GROUP DISCIPLINED VALUE FD	10,816.53	16.08	14,201.97	13.08	147.44	1.04
669.79	THE ONE GROUP GRWTH OPPORTUNITIES FD	10,351.61	19.44	13,020.70	11.99	0.00	0.00
611.83	THE ONE GROUP INTL EQUITY INDEX FD	8,390.96	15.23	9,318.11	8.58	112.26	1.20
775.95	THE ONE GROUP LARGE COMPANY GRWTH FD	9,140.73	18.24	14,153.40	13.04	46.82	0.33
1,008.45	THE ONE GROUP LARGE COMPANY VALUE FD	11,541.54	15.19	15,318.28	14.11	242.29	1.58
326.78	THE ONE GROUP SMALL CAPITALIZATN FD	3,657.33	11.34	3,705.74	3.41	0.00	0.00
1,450.41	THE ONE GROUP VALUE GROWTH FD	15,199.31	11.55	16,752.25	15.43	133.67	0.80
	TOTAL COMMON & MUTUAL FUNDS - EQUITIES	69,098.01		86,470.45	79.64	682.48	0.79
	TOTAL ACCOUNT	90,688.20		108,576.70	100.00	2,019.12	1.86

3592

BANK ONE.

F JAMES SENSENBRENNER III TR DETAIL OF PENDING ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572031010

PENDING TRADES: NONE

BANK ONE TRUST COMPANY, NA
111 E WISCONSIN AVE
MILWAUKEE, WI 53202

STATEMENT OF ACCOUNT
FOR PERIOD 01/01/97 THROUGH 12/31/97

ROBERT ALAN SENSENBRENNER 1993 TRUST

ACCOUNT NUMBER 9572131310

FOR ASSISTANCE, PLEASE CONTACT
LYNN E PAULL
(414) 765-2751

F JAMES SENSENBRENNER JR
609 FORT WILLIAMS PKWY
ALEXANDRIA VA 22304-1813

BANK ONE.

3594

STATEMENT MESSAGES

ACCOUNT NO. 9572131310 ROBERT ALAN SENSENBRENNER 1993 TRUST

MUTUAL FUNDS, INCLUDING PROPRIETARY MUTUAL FUNDS, AND VARIOUS OTHER MARKETABLE SECURITIES ARE NOT INSURED OR GUARANTEED BY THE FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC) OR ANY OTHER GOVERNMENT SPONSORED AGENCY OF THE FEDERAL GOVERNMENT OR ANY STATE. ALL INVOLVE INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF PRINCIPAL AMOUNT INVESTED. "THE ONE GROUP" FUNDS ARE NOT DEPOSITS OR OBLIGATIONS OF, AND ARE NOT GUARANTEED BY, BANC ONE CORPORATION OR ITS BANK OR NON-BANK AFFILIATES.

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ALTHOUGH MARKET VALUES AND PRICES HAVE BEEN OBTAINED FROM SOURCES WE BELIEVE TO BE RELIABLE, WE DO NOT GUARANTEE THEIR ACCURACY. CERTAIN FIXED INCOME SECURITIES AND ASSETS THAT ARE NOT PUBLICLY OR FREQUENTLY TRADED CANNOT BE READILY PRICED.

****

THIS STATEMENT IS NOT AN OFFICIAL DOCUMENT FOR INCOME TAX REPORTING PURPOSES.

****

"THE ONE GROUP GULF SOUTH GROWTH FUND" WAS RENAMED "THE ONE GROUP SMALL CAPITALIZATION FUND" AS OF NOVEMBER 1, 1997. IN ADDITION TO THE NAME CHANGE, THE FUND OBJECTIVES HAVE ALSO CHANGED. TO OBTAIN A COPY OF THE PROSPECTUS, PLEASE CONTACT THE ONE GROUP HELP DESK AT 1-800-480-4111. IF YOU HAVE ANY QUESTIONS ABOUT THESE CHANGES, PLEASE CONTACT YOUR RELATIONSHIP MANAGER.

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TRANSACTION SUMMARY

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
BEGINNING BALANCES 12/31/96	0.00	0.00	111,310.22
CASH RECEIPTS			
NET INTEREST	214.61		
NET DIVIDENDS	2,265.78	15,045.18	
OTHER CASH RECEIPTS		32,394.39	
TOTAL CASH RECEIPTS	2,480.39	47,439.57	0.00
CASH DISBURSEMENTS			
DISTRIBUTIONS TO BENEFICIARIES		6,800.00-	
FIDUCIARY INCOME TAXES		3,524.00-	
ADMINISTRATIVE EXPENSES	735.00-	375.00-	
OTHER DISBURSEMENTS	1,745.39-		
TOTAL CASH DISBURSEMENTS	2,480.39-	10,699.00-	0.00
INVESTMENT TRANSACTIONS			
PURCHASES		75,679.99-	75,679.99
SALES/MATURITIES		39,500.80	36,266.58-
NET PURCHASES/SALES CASH MANAGEMENT VEHICLE		561.38-	561.38

BANK ONE.

3596

TRANSACTION SUMMARY

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
TOTAL INVESTMENT TRANSACTIONS		36,740.57-	39,974.79
ENDING BALANCES 12/31/97	0.00	0.00	151,285.01

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/02/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.01711/SH ON 1,595.72 SHARES DUE 1/ 2/97	27.31		
1/03/97	PURCHASED 10,000 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/ 3/97		10,000.00-	10,000.00
1/03/97	CASH RECEIPT DEPOSIT TO ACCOUNT CHECK FROM MARGARET L SMITH DATED 1/3/97		10,000.00	
1/03/97	PURCHASED 200.77 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/ 3/97		200.77-	200.77
1/07/97	PURCHASED 544.62 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 1/ 6/97 544.62 SHARES AT $13.08		7,123.63-	7,123.63
1/07/97	PURCHASED 177.663 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 1/ 6/97 177.663 SHARES AT $16.19		2,876.37-	2,876.37

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TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/07/97	SOLD 10,000 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/ 7/97		10,000.00	10,000.00-
1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END		18.75-	
1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END	48.75-		
1/10/97	SOLD 67.5 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/10/97		67.50	67.50-
2/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 1/1/97 TO 1/31/97	43.09		
2/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01240/SH ON 1,379.37 SHARES DUE 2/ 3/97	17.11		
2/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	24.04		

BANK ONE.

3599

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 1/1/97 TO 1/31/97	10.52		
2/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.01523/SH ON 2,954.94 SHARES DUE 2/ 3/97	44.99		
2/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	29.11		
2/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	17.37		
2/03/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00225/SH ON 1,773.39 SHARES DUE 2/ 3/97	4.00		
2/04/97	PURCHASED 190.23 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 2/ 4/97		190.23-	190.23
2/10/97	PURCHASED 1,466.307 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 2/ 7/97 1,466.307 SHARES AT $10.23		15,000.32-	15,000.32

3600

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)2/10/97	PURCHASED 307.731 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 2/ 7/97 307.731 SHARES AT $17.78		5,471.46-	5,471.46
)2/10/97	PURCHASED 187.32 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 2/ 7/97 187.32 SHARES AT $14.89		2,789.20-	2,789.20
)2/10/97	PURCHASED 274.656 SH THE ONE GROUP GULF SOUTH GROWTH FD TRADE DATE 2/ 7/97 274.656 SHARES AT $9.93		2,727.33-	2,727.33
)2/10/97	PURCHASED 132.517 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 2/ 7/97 132.517 SHARES AT $14.55		1,928.12-	1,928.12
)2/10/97	PURCHASED 146.638 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 2/ 7/97 146.638 SHARES AT $9.74		1,428.25-	1,428.25

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
02/10/97	PURCHASED 127.609 SH THE ONE GROUP INCOME BOND FD TRADE DATE 2/ 7/97 127.609 SHARES AT $9.49		1,211.01-	1,211.01
02/10/97	PURCHASED 19.531 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 2/ 7/97 19.531 SHARES AT $9.98		194.92-	194.92
02/10/97	SOLD 1,018.875 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 2/ 7/97 1,018.875 SHARES AT $13.52		13,775.19	13,016.42-
02/10/97	SOLD 629.235 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 2/ 7/97 629.235 SHARES AT $17.12		10,772.51	9,639.78-
02/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END		18.75-	

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ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END	48.75-		
2/10/97	SOLD 6,270.41 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 2/10/97		6,270.41	6,270.41-
3/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 2/1/97 TO 2/28/97	17.97		
3/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01998/SH ON 1,511.89 SHARES DUE 3/ 3/97	30.21		
3/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	26.81		
3/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 2/1/97 TO 2/28/97	10.01		
3/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.04043/SH ON 1,936.06 SHARES DUE 3/ 3/97	78.28		

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
3/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	33.87		
3/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	17.50		
3/03/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00926/SH ON 1,144.15 SHARES DUE 3/ 3/97	10.60		
3/03/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01312/SH ON 1,466.31 SHARES DUE 3/ 3/97	19.23		
3/04/97	PURCHASED 244.48 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/ 4/97		244.48-	244.48
3/07/97	CASH RECEIPT DEPOSIT TO ACCOUNT CHECK FROM F JAMES SENSENBRENNER JR F/B/O ROBERT ALAN SENSENBRENNER DATED 2/28/97		1,400.00	
3/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END		18.75-	

3604

ROBERT ALAN SENSENBRENNER 1993 TRUST

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
3/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END	48.75-		
3/10/97	PURCHASED 1,332.5 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/10/97		1,332.50-	1,332.50
3/11/97	PURCHASED 86.882 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 3/10/97 86.882 SHARES AT $9.91		861.00-	861.00
3/11/97	PURCHASED 51.579 SH THE ONE GROUP LTD VOLATILITY BD FD TRADE DATE 3/10/97 51.579 SHARES AT $10.45		539.00-	539.00
3/11/97	SOLD 1,400 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/11/97		1,400.00	1,400.00-
4/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 3/1/97 TO 3/31/97	12.33		

BANK ONE.

3605

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01239/SH ON 1,511.89 SHARES DUE 4/ 1/97	18.73		
04/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	31.35		
04/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 3/1/97 TO 3/31/97	12.43		
04/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00712/SH ON 1,936.06 SHARES DUE 4/ 1/97	13.79		
04/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	36.71		
04/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	22.16		
04/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.01371/SH ON 1,144.15 SHARES DUE 4/ 1/97	15.69		

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00743/SH ON 1,466.31 SHARES DUE 4/ 1/97	10.90		
04/02/97	PURCHASED 174.09 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/ 2/97		174.09-	174.09
04/07/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN		1,120.00-	
04/07/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY STATE INCOME TAX TAX DUE ON FORM 2 FOR CALENDAR YEAR RETURN		128.00-	
04/07/97	SOLD 1,248 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/ 7/97		1,248.00	1,248.00-
04/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END		18.75-	

BANK ONE.

3607

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END	48.75-		
04/10/97	SOLD 67.5 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/10/97		67.50	67.50-
04/11/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE FIDUCIARY EST FED INCOME TAX		1,980.00-	
04/11/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX		296.00-	
04/11/97	SOLD 1,695.41 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/11/97		1,695.41	1,695.41-
04/15/97	SOLD 31.642 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 4/14/97 31.642 SHARES AT $16.20		512.60	451.53-

3608

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/15/97	SOLD 13.453 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 4/14/97 13.453 SHARES AT $13.93		187.40	200.18-
4/15/97	PURCHASED 119.41 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/15/97		119.41-	119.41
5/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 4/1/97 TO 4/30/97	3.77		
5/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01610/SH ON 1,498.43 SHARES DUE 5/ 1/97	24.13		
5/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	30.95		
5/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 4/1/97 TO 4/30/97	13.26		
5/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.01332/SH ON 1,936.06 SHARES DUE 5/ 1/97	25.79		

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
5/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	36.10		
5/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	23.05		
5/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00300/SH ON 1,466.31 SHARES DUE 5/ 1/97	4.41		
5/02/97	PURCHASED 161.46 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/ 2/97		161.46-	161.46
5/12/97	CASH RECEIPT DEPOSIT TO ACCOUNT 1996 FEDERAL INCOME TAX REFUND DATED 4/25/97		1,931.00	
5/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END		37.50-	
5/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END	67.50-		

3610

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
5/12/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/12/97		105.00	105.00-
5/13/97	PURCHASED 1,931 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/13/97		1,931.00-	1,931.00
5/14/97	PURCHASED 178.962 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 5/13/97 178.962 SHARES AT $10.79		1,931.00-	1,931.00
5/14/97	SOLD 1,931 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/14/97		1,931.00	1,931.00-
5/21/97	PURCHASED 465.598 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 5/20/97 465.598 SHARES AT $10.93		5,088.99-	5,088.99
5/21/97	PURCHASED 62.436 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 5/20/97 62.436 SHARES AT $18.50		1,155.06-	1,155.06

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
5/21/97	PURCHASED 40.818 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 5/20/97 40.818 SHARES AT $9.62		392.67-	392.67
5/21/97	PURCHASED 35.01 SH THE ONE GROUP INCOME BOND FD TRADE DATE 5/20/97 35.01 SHARES AT $9.35		327.34-	327.34
5/21/97	PURCHASED 22.859 SH THE ONE GROUP LTD VOLATILITY BD FD TRADE DATE 5/20/97 22.859 SHARES AT $10.43		238.42-	238.42
5/21/97	PURCHASED 12.112 SH THE ONE GROUP GROWTH OPPORTUNITIES FD TRADE DATE 5/20/97 12.112 SHARES AT $18.45		223.46-	223.46
5/21/97	PURCHASED 15.675 SH THE ONE GROUP GULF SOUTH GROWTH FD TRADE DATE 5/20/97 15.675 SHARES AT $9.91		155.34-	155.34

3612

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
5/21/97	PURCHASED 9.973 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 5/20/97 9.973 SHARES AT $9.86		98.33-	98.33
5/21/97	SOLD 409.169 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 5/20/97 409.169 SHARES AT $14.24		5,826.57	4,883.03-
5/21/97	SOLD 160.915 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 5/20/97 160.915 SHARES AT $15.01		2,415.33	2,328.41-
5/21/97	PURCHASED 562.29 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/21/97		562.29-	562.29
6/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 5/1/97 TO 5/31/97	2.08		
6/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01535/SH ON 1,337.52 SHARES DUE 6/ 2/97	20.53		

3613

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
06/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	32.58		
06/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 5/1/97 TO 5/31/97	14.26		
06/02/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.04681/SH ON 1,526.90 SHARES DUE 6/ 2/97	71.47		
06/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	36.73		
06/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	23.72		
06/02/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00674/SH ON 1,174.95 SHARES DUE 6/ 2/97	7.93		
06/02/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01361/SH ON 2,110.87 SHARES DUE 6/ 2/97	28.72		

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
6/03/97	PURCHASED 238.02 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 6/ 3/97		238.02-	238.02
6/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END		37.50-	
6/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END	67.50-		
6/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 6/10/97		105.00	105.00-
7/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 6/1/97 TO 6/30/97	3.81		
7/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01392/SH ON 1,337.52 SHARES DUE 7/ 1/97	18.62		
7/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	32.74		

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ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
07/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 6/1/97 TO 6/30/97	14.95		
07/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00756/SH ON 1,526.90 SHARES DUE 7/ 1/97	11.54		
07/01/97	INCOME ON THE ONE GROUP INTL EQUITY INDEX FD $ 0.16199/SH ON 822.96 SHARES DUE 7/ 1/97	133.31		
07/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	37.41		
07/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	23.48		
07/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00497/SH ON 1,174.95 SHARES DUE 7/ 1/97	5.84		
07/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00621/SH ON 2,110.87 SHARES DUE 7/ 1/97	13.10		

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
7/02/97	PURCHASED 294.8 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 7/ 2/97		294.80-	294.80
7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END		37.50-	
7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END	67.50-		
7/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 7/10/97		105.00	105.00-
8/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 7/1/97 TO 7/31/97	4.83		
8/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01188/SH ON 1,337.52 SHARES DUE 8/ 1/97	15.89		
8/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	33.56		

BANK ONE.

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
08/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 7/1/97 TO 7/31/97	15.01		
08/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00942/SH ON 1,526.90 SHARES DUE 8/ 1/97	14.38		
08/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	37.94		
08/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	23.53		
08/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00474/SH ON 1,174.95 SHARES DUE 8/ 1/97	5.57		
08/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00478/SH ON 2,110.87 SHARES DUE 8/ 1/97	10.08		
08/04/97	PURCHASED 160.79 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/ 4/97		160.79-	160.79

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/08/97	SOLD 82.289 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 8/ 7/97 82.289 SHARES AT $22.12		1,820.23	1,471.21-
1/08/97	PURCHASED 1,820.23 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/ 8/97		1,820.23-	1,820.23
3/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END		37.50-	
3/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END	67.50-		
3/11/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/11/97		105.00	105.00-
9/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01443/SH ON 1,337.52 SHARES DUE 9/ 2/97	19.30		
9/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	37.88		

BANK ONE.

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
09/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	33.73		
09/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	23.66		
09/02/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.05364/SH ON 1,526.90 SHARES DUE 9/ 2/97	81.91		
09/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 8/1/97 TO 8/31/97	14.80		
09/02/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01012/SH ON 2,110.87 SHARES DUE 9/ 2/97	21.37		
09/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 8/1/97 TO 8/31/97	11.31		
09/03/97	PURCHASED 243.96 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/ 3/97		243.96-	243.96

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ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
9/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END		37.50-	
9/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END	67.50-		
9/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/10/97		105.00	105.00-
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		1,288.52	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		334.22	
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		0.83	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		806.25	
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		47.78	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		557.42	

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTL EQUITY INDEX FD		108.70	
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE CO GROWTH FD		1,812.86	
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		434.69	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		1,109.66	
9/22/97	PURCHASED 6,500.93 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/22/97		6,500.93-	6,500.93
0/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 9/1/97 TO 9/30/97	21.67		
0/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01077/SH ON 1,337.52 SHARES DUE 10/ 1/97	14.41		
0/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	32.61		

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ROBERT ALAN SENSENBRENNER 1993 TRUST

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
0/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 9/1/97 TO 9/30/97	14.50		
0/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00611/SH ON 1,526.90 SHARES DUE 10/ 1/97	9.33		
0/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	37.47		
0/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	23.19		
0/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00722/SH ON 1,174.95 SHARES DUE 10/ 1/97	8.48		
0/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00809/SH ON 2,110.87 SHARES DUE 10/ 1/97	17.08		
0/02/97	PURCHASED 178.74 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 10/ 2/97		178.74-	178.74

BANK ONE.

3623

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END		37.50-	
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END	67.50-		
10/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 10/10/97		105.00	105.00-
11/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 10/1/97 TO 10/31/97	43.23		
11/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01846/SH ON 1,337.52 SHARES DUE 11/ 3/97	24.69		
11/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	34.13		
11/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 10/1/97 TO 10/31/97	14.77		

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ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00354/SH ON 1,526.90 SHARES DUE 11/ 3/97	5.41		
1/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	37.55		
1/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	23.97		
1/03/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00410/SH ON 2,110.87 SHARES DUE 11/ 3/97	8.65		
1/04/97	PURCHASED 192.4 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 11/ 4/97		192.40-	192.40
1/10/97	PURCHASED 204.693 SH THE ONE GROUP SMALL CAPITALIZATN FD TRADE DATE 11/ 7/97 204.693 SHARES AT $12.90		2,640.54-	2,640.54

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/10/97	PURCHASED 104.687 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 11/ 7/97 104.687 SHARES AT $15.32		1,603.80-	1,603.80
11/10/97	PURCHASED 86.884 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 11/ 7/97 86.884 SHARES AT $11.61		1,008.72-	1,008.72
11/10/97	PURCHASED 74.883 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 11/ 7/97 74.883 SHARES AT $9.95		745.09-	745.09
11/10/97	PURCHASED 63.234 SH THE ONE GROUP INCOME BOND FD TRADE DATE 11/ 7/97 63.234 SHARES AT $9.53		602.62-	602.62
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END		37.50-	

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END	67.50-		
11/10/97	SOLD 6,705.77 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 11/10/97		6,705.77	6,705.77-
12/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 11/1/97 TO 11/30/97	22.26		
2/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.00855/SH ON 1,337.52 SHARES DUE 12/ 1/97	11.43		
2/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	35.23		
2/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 11/1/97 TO 11/30/97	14.42		
2/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.02006/SH ON 1,526.90 SHARES DUE 12/ 1/97	30.63		

BANK ONE.

3627

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	39.78		
12/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	23.21		
12/01/97	INCOME ON THE ONE GROUP LARGE COMPANY GRWTH FD $ 0.00339/SH ON 1,174.95 SHARES DUE 12/ 1/97	3.98		
12/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00897/SH ON 2,197.75 SHARES DUE 12/ 1/97	19.71		
12/02/97	PURCHASED 200.65 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/ 2/97		200.65-	200.65
12/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END		37.50-	
12/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END	67.50-		

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ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/10/97		105.00	105.00-
2/18/97	CASH RECEIPT DEPOSIT TO ACCOUNT RECEIVED FROM F JAMES SENSENBRENNER FBO ROBERT ALAN SENSENBRENNER		17,318.00	
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		1,235.72	
2/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		800.88	
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		257.96	
2/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		1,549.69	
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTL EQUITY INDEX FD		277.18	
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY GRWTH FD		1,383.72	
2/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY GRWTH FD		190.47	

BANK ONE.

3629

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		658.21	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		157.44	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP SMALL CAPITALIZATN FD		501.51	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP SMALL CAPITALIZATN FD		155.96	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		531.88	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		843.63	
12/19/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE PERSONAL EST STATE TAX ***1997 FORM 1ES 230-33-5547		1,800.00-	
12/19/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE PERSONAL EST FED INCOME TAX ***1997 FORM 1040ES 230-33-5547		5,000.00-	

ROBERT ALAN SENSENBRENNER 1993 TRUST

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/19/97	PURCHASED 19,062.25 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/19/97		19,062.25-	19,062.25
12/22/97	PURCHASED 263.461 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 12/19/97 263.461 SHARES AT $18.56		4,889.83-	4,889.83
12/22/97	PURCHASED 201.046 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 12/19/97 201.046 SHARES AT $15.46		3,108.17-	3,108.17
12/22/97	PURCHASED 151.56 SH THE ONE GROUP LARGE COMPANY GRWTH FD TRADE DATE 12/19/97 151.56 SHARES AT $17.77		2,693.22-	2,693.22
12/22/97	PURCHASED 199.093 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 12/19/97 199.093 SHARES AT $11.24		2,237.81-	2,237.81

BANK ONE.

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/22/97	PURCHASED 135.151 SH THE ONE GROUP SMALL CAPITALIZATN FD TRADE DATE 12/19/97 135.151 SHARES AT $10.78		1,456.93-	1,456.93
2/22/97	PURCHASED 80.773 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 12/19/97 80.773 SHARES AT $14.92		1,205.13-	1,205.13
2/22/97	PURCHASED 70.263 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 12/19/97 70.263 SHARES AT $14.85		1,043.41-	1,043.41
2/22/97	PURCHASED 67.606 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 12/19/97 67.606 SHARES AT $10.11		683.50-	683.50
2/22/97	SOLD 17,318 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/22/97		17,318.00	17,318.00-

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ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/23/97	SOLD 49.293 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 12/22/97 49.293 SHARES AT $15.52		765.02	762.07-
2/23/97	SOLD 62.319 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 12/22/97 62.319 SHARES AT $11.30		704.20	723.52-
2/23/97	SOLD 47.031 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 12/22/97 47.031 SHARES AT $14.93		702.17	698.41-
2/23/97	SOLD 35.62 SH THE ONE GROUP LARGE COMPANY GRWTH FD TRADE DATE 12/22/97 35.62 SHARES AT $17.93		638.66	658.97-
2/23/97	SOLD 32.33 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 12/22/97 32.33 SHARES AT $18.60		601.34	600.04-

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/23/97	SOLD 33.535 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 12/22/97 33.535 SHARES AT $14.76		494.98	513.75-
12/23/97	SOLD 16.487 SH THE ONE GROUP SMALL CAPITALIZATN FD TRADE DATE 12/22/97 16.487 SHARES AT $10.84		178.72	212.68-
12/23/97	SOLD 10.473 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 12/22/97 10.473 SHARES AT $10.11		105.88	106.58-
12/23/97	PURCHASED 4,190.97 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/23/97		4,190.97-	4,190.97
12/31/97	CASH DISBURSEMENT TRANSFER TO PRINCIPAL	1,745.39-		

TRANSACTION DETAIL

ROBERT ALAN SENSENBRENNER 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/31/97	CASH RECEIPT TRANSFER FROM INCOME		1,745.39	
2/31/97	ENDING BALANCES	0.00	0.00	151,285.01

INCOME CASH	+	PRINCIPAL CASH	=	NET CASH
0.00		0.00		0.00

BANK ONE.

ROBERT ALAN SENSENBRENNER 1993 TRUST

SUMMARY OF ASSETS AS OF 12/31/97

ACCOUNT NUMBER: 9572131310

DESCRIPTION	TAX COST	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	YIELD AT MARKET
CASH EQUIVALENTS	9,168.13	9,168.13	5.22	497.48	5.43
MUTUAL FUNDS - FIXED INCOME	21,780.32	22,379.40	12.75	1,430.41	6.39
COMMON & MUTUAL FUNDS - EQUITIES	120,336.56	144,025.23	82.03	1,092.97	0.76
TOTAL ACCOUNT	151,285.01	175,572.76	100.00	3,020.86	1.72

ROBERT ALAN SENSENBRENNER 1993 TRUST DETAIL OF ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572131310

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
CASH							
0.00	INCOME CASH	0.00		0.00	0.00		
0.00	PRINCIPAL CASH	0.00		0.00	0.00		
0.00	NET CASH	0.00		0.00	0.00		
CASH EQUIVALENTS							
9,168.13	THE ONE GROUP PRIME MONEY MARKET FD	9,168.13	1.00	9,168.13	5.22	497.48	5.43
MUTUAL FUNDS - FIXED INCOME							
816.87	THE ONE GROUP GOVERNMENT BOND FD	7,837.48	10.01	8,176.91	4.66	486.11	5.94
673.97	THE ONE GROUP INCOME BOND FD	6,260.65	9.48	6,389.22	3.64	438.14	6.86
491.49	THE ONE GROUP INTERMEDIATE BOND FD	4,818.49	10.06	4,944.40	2.82	332.77	6.73

ROBERT ALAN SENSENBRENNER 1993 TRUST DETAIL OF ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572131310

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
273.75	THE ONE GROUP LTD VOLATILITY BD FD	2,863.70	10.48	2,868.87	1.63	173.39	6.04
	TOTAL MUTUAL FUNDS - FIXED INCOME	21,780.32		22,379.40	12.75	1,430.41	6.39
	COMMON & MUTUAL FUNDS - EQUITIES						
1,489.27	THE ONE GROUP DISCIPLINED VALUE FD	19,445.88	16.08	23,947.49	13.64	248.62	1.04
1,245.63	THE ONE GROUP GRWTH OPPORTUNITIES FD	21,069.82	19.44	24,215.05	13.79	0.00	0.00
974.89	THE ONE GROUP INTL EQUITY INDEX FD	13,660.51	15.23	14,847.54	8.46	178.87	1.20
1,290.89	THE ONE GROUP LARGE COMPANY GRWTH FD	16,884.26	18.24	23,545.74	13.41	77.89	0.33
1,550.13	THE ONE GROUP LARGE COMPANY VALUE FD	17,965.31	15.19	23,546.43	13.41	372.44	1.58
613.69	THE ONE GROUP SMALL CAPITALIZATN FD	6,767.46	11.34	6,959.22	3.96	0.00	0.00
2,334.53	THE ONE GROUP VALUE GROWTH FD	24,543.32	11.55	26,963.76	15.36	215.15	0.80
	TOTAL COMMON & MUTUAL FUNDS - EQUITIES	120,336.56		144,025.23	82.03	1,092.97	0.76
	TOTAL ACCOUNT	151,285.01		175,572.76	100.00	3,020.86	1.72

ROBERT ALAN SENSENBRENNER 1993 TRUST DETAIL OF PENDING ASSETS AS OF 12/31/97

ACCOUNT NUMBER: 9572131310

PENDING TRADES: NONE

BANK ONE.

BANK ONE TRUST COMPANY, NA
111 E WISCONSIN AVE
MILWAUKEE, WI 53202

STATEMENT OF ACCOUNT
FOR PERIOD 01/01/97 THROUGH 12/31/97

F JAMES SENSENBRENNER III 1993 TRUST

ACCOUNT NUMBER 9572131210

FOR ASSISTANCE, PLEASE CONTACT
LYNN E PAULL
(414) 765-2751

F JAMES SENSENBRENNER JR
609 FORT WILLIAMS PKWY
ALEXANDRIA VA 22304-1813

BANK ONE.

STATEMENT MESSAGES

ACCOUNT NO. 9572131210 F JAMES SENSENBRENNER III 1993 TRUST

MUTUAL FUNDS, INCLUDING PROPRIETARY MUTUAL FUNDS, AND VARIOUS OTHER MARKETABLE SECURITIES ARE NOT INSURED OR GUARANTEED BY THE FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC) OR ANY OTHER GOVERNMENT SPONSORED AGENCY OF THE FEDERAL GOVERNMENT OR ANY STATE. ALL INVOLVE INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF PRINCIPAL AMOUNT INVESTED. "THE ONE GROUP" FUNDS ARE NOT DEPOSITS OR OBLIGATIONS OF, AND ARE NOT GUARANTEED BY, BANC ONE CORPORATION OR ITS BANK OR NON-BANK AFFILIATES.

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ALTHOUGH MARKET VALUES AND PRICES HAVE BEEN OBTAINED FROM SOURCES WE BELIEVE TO BE RELIABLE, WE DO NOT GUARANTEE THEIR ACCURACY. CERTAIN FIXED INCOME SECURITIES AND ASSETS THAT ARE NOT PUBLICLY OR FREQUENTLY TRADED CANNOT BE READILY PRICED.

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THIS STATEMENT IS NOT AN OFFICIAL DOCUMENT FOR INCOME TAX REPORTING PURPOSES.

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"THE ONE GROUP GULF SOUTH GROWTH FUND" WAS RENAMED "THE ONE GROUP SMALL CAPITALIZATION FUND" AS OF NOVEMBER 1, 1997. IN ADDITION TO THE NAME CHANGE, THE FUND OBJECTIVES HAVE ALSO CHANGED. TO OBTAIN A COPY OF THE PROSPECTUS, PLEASE CONTACT THE ONE GROUP HELP DESK AT 1-800-480-4111. IF YOU HAVE ANY QUESTIONS ABOUT THESE CHANGES, PLEASE CONTACT YOUR RELATIONSHIP MANAGER.

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TRANSACTION SUMMARY

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
BEGINNING BALANCES 12/31/96	0.00	0.00	115,299.32
CASH RECEIPTS			
NET INTEREST	223.18		
NET DIVIDENDS	2,325.99	15,452.65	
OTHER CASH RECEIPTS		31,726.17	
TOTAL CASH RECEIPTS	2,549.17	47,178.82	0.00
CASH DISBURSEMENTS			
DISTRIBUTIONS TO BENEFICIARIES		4,300.00-	
FIDUCIARY INCOME TAXES		3,488.00-	
ADMINISTRATIVE EXPENSES	735.00-	375.00-	
OTHER DISBURSEMENTS	1,814.17-		
TOTAL CASH DISBURSEMENTS	2,549.17-	8,163.00-	0.00
INVESTMENT TRANSACTIONS			
PURCHASES		78,197.22-	78,197.22
SALES/MATURITIES		37,856.82	34,399.56-
NET PURCHASES/SALES CASH MANAGEMENT VEHICLE		1,324.58	1,324.58-

BANK ONE.

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TRANSACTION SUMMARY

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
TOTAL INVESTMENT TRANSACTIONS		39,015.82-	42,473.08
ENDING BALANCES 12/31/97	0.00	0.00	157,772.40

TRANSACTION DETAIL

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/31/96	BEGINNING BALANCES	0.00	0.00	115,299.32
01/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 12/1/96 TO 12/31/96	31.46		
01/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01623/SH ON 1,397.41 SHARES DUE 1/ 2/97	22.68		
01/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	24.11		
01/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 12/1/96 TO 12/31/96	10.74		
01/02/97	INCOME ON THE ONE GROUP INTL EQUITY INDEX FD $ 0.06595/SH ON 625.65 SHARES DUE 1/ 2/97	41.26		
01/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	29.10		
01/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 12/1/96 TO 12/31/96	17.71		

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
01/02/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.01711/SH ON 1,688.99 SHARES DUE 1/ 2/97	28.91		
01/03/97	PURCHASED 10,000 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/ 3/97		10,000.00-	10,000.00
01/03/97	CASH RECEIPT DEPOSIT TO ACCOUNT CHECK FROM MARGARET L SMITH DATED 1/3/97		10,000.00	
01/03/97	PURCHASED 205.97 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/ 3/97		205.97-	205.97
01/07/97	PURCHASED 493.484 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 1/ 6/97 493.484 SHARES AT $13.08		6,454.77-	6,454.77
01/07/97	PURCHASED 218.977 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 1/ 6/97 218.977 SHARES AT $16.19		3,545.23-	3,545.23

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)1/07/97	SOLD 10,000 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/ 7/97		10,000.00	10,000.00-
)1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END		18.75-	
)1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END	48.75-		
)1/10/97	SOLD 67.5 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 1/10/97		67.50	67.50-
)2/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 1/1/97 TO 1/31/97	45.35		
)2/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01240/SH ON 1,397.41 SHARES DUE 2/ 3/97	17.33		
)2/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	24.38		

BANK ONE.

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
02/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 1/1/97 TO 1/31/97	10.71		
02/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.01523/SH ON 3,041.83 SHARES DUE 2/ 3/97	46.31		
02/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	29.15		
02/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 1/1/97 TO 1/31/97	17.65		
02/03/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00225/SH ON 1,907.97 SHARES DUE 2/ 3/97	4.30		
02/04/97	PURCHASED 195.18 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 2/ 4/97		195.18-	195.18
02/10/97	PURCHASED 1,512.761 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 2/ 7/97 1,512.761 SHARES AT $10.23		15,475.54-	15,475.54

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
02/10/97	PURCHASED 336.183 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 2/ 7/97 336.183 SHARES AT $17.78		5,977.33-	5,977.33
02/10/97	PURCHASED 223.45 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 2/ 7/97 223.45 SHARES AT $14.89		3,327.17-	3,327.17
02/10/97	PURCHASED 283.356 SH THE ONE GROUP GULF SOUTH GROWTH FD TRADE DATE 2/ 7/97 283.356 SHARES AT $9.93		2,813.73-	2,813.73
02/10/97	PURCHASED 162.149 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 2/ 7/97 162.149 SHARES AT $14.55		2,359.27-	2,359.27
02/10/97	PURCHASED 168.254 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 2/ 7/97 168.254 SHARES AT $9.74		1,638.79-	1,638.79

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
02/10/97	PURCHASED 139.161 SH THE ONE GROUP INCOME BOND FD TRADE DATE 2/ 7/97 139.161 SHARES AT $9.49		1,320.64-	1,320.64
02/10/97	PURCHASED 28.981 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 2/ 7/97 28.981 SHARES AT $9.98		289.23-	289.23
02/10/97	SOLD 1,044.474 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 2/ 7/97 1,044.474 SHARES AT $13.52		14,121.29	13,413.64-
02/10/97	SOLD 726.289 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 2/ 7/97 726.289 SHARES AT $17.12		12,434.06	11,165.99-
02/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END		18.75-	

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
02/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END	48.75-		
02/10/97	SOLD 6,713.85 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 2/10/97		6,713.85	6,713.85-
03/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 2/1/97 TO 2/28/97	18.86		
03/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01998/SH ON 1,559.56 SHARES DUE 3/ 3/97	31.17		
03/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	27.58		
03/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 2/1/97 TO 2/28/97	10.13		
03/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.04043/SH ON 1,997.36 SHARES DUE 3/ 3/97	80.76		

BANK ONE.

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
03/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	34.66		
03/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 2/1/97 TO 2/28/97	18.09		
03/03/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00926/SH ON 1,181.68 SHARES DUE 3/ 3/97	10.94		
03/03/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01312/SH ON 1,512.76 SHARES DUE 3/ 3/97	19.84		
03/04/97	PURCHASED 252.03 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/ 4/97		252.03-	252.03
03/07/97	CASH RECEIPT DEPOSIT TO ACCOUNT CHECK FROM F JAMES SENSENBRENNER JR F/B/O F JAMES SENSENBRENNER III DATED 2/28/97		1,400.00	
03/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END		18.75-	

TRANSACTION DETAIL

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
03/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END	48.75-		
03/10/97	PURCHASED 1,332.5 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/10/97		1,332.50-	1,332.50
03/11/97	PURCHASED 86.054 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 3/10/97 86.054 SHARES AT $9.91		852.80-	852.80
03/11/97	PURCHASED 52.364 SH THE ONE GROUP LTD VOLATILITY BD FD TRADE DATE 3/10/97 52.364 SHARES AT $10.45		547.20-	547.20
03/11/97	SOLD 1,400 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 3/11/97		1,400.00	1,400.00-
04/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 3/1/97 TO 3/31/97	12.73		

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01239/SH ON 1,559.56 SHARES DUE 4/ 1/97	19.32		
04/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	32.31		
04/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 3/1/97 TO 3/31/97	12.65		
04/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00712/SH ON 1,997.36 SHARES DUE 4/ 1/97	14.22		
04/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	37.91		
04/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 3/1/97 TO 3/31/97	22.92		
04/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.01371/SH ON 1,181.68 SHARES DUE 4/ 1/97	16.20		

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00743/SH ON 1,512.76 SHARES DUE 4/ 1/97	11.24		
04/02/97	PURCHASED 179.5 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/ 2/97		179.50-	179.50
04/07/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN		1,080.00-	
04/07/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY STATE INCOME TAX TAX DUE ON FORM 2 FOR CALENDAR YEAR RETURN		120.00-	
04/07/97	SOLD 1,200 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/ 7/97		1,200.00	1,200.00-
04/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END		18.75-	

BANK ONE.

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END	48.75-		
04/10/97	SOLD 67.5 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/10/97		67.50	67.50-
04/11/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE FIDUCIARY EST FED INCOME TAX		1,992.00-	
04/11/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX		296.00-	
04/11/97	SOLD 1,842.77 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/11/97		1,842.77	1,842.77-
04/15/97	SOLD 33.16 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 4/14/97 33.16 SHARES AT $16.20		537.19	473.20-

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)4/15/97	SOLD 4.509 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 4/14/97 4.509 SHARES AT $13.93		62.81	65.61-
)4/15/97	PURCHASED 154.77 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 4/15/97		154.77-	154.77
)5/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 4/1/97 TO 4/30/97	4.01		
)5/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01610/SH ON 1,555.05 SHARES DUE 5/ 1/97	25.04		
)5/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	31.95		
)5/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 4/1/97 TO 4/30/97	13.45		
)5/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.01332/SH ON 1,997.36 SHARES DUE 5/ 1/97	26.61		

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
05/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	37.27		
05/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 4/1/97 TO 4/30/97	23.81		
05/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00300/SH ON 1,512.76 SHARES DUE 5/ 1/97	4.55		
05/02/97	PURCHASED 166.69 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/ 2/97		166.69-	166.69
05/12/97	CASH RECEIPT DEPOSIT TO ACCOUNT 1996 FEDERAL INCOME TAX REFUND DATED 4/25/97		1,194.00	
05/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END		37.50-	
05/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END	67.50-		

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
05/12/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/12/97		105.00	105.00-
05/13/97	PURCHASED 1,194 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/13/97		1,194.00-	1,194.00
05/14/97	PURCHASED 110.658 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 5/13/97 110.658 SHARES AT $10.79		1,194.00-	1,194.00
05/14/97	SOLD 1,194 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/14/97		1,194.00	1,194.00-
05/21/97	PURCHASED 543.685 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 5/20/97 543.685 SHARES AT $10.93		5,942.48-	5,942.48
05/21/97	PURCHASED 58.292 SH THE ONE GROUP LARGE CO GROWTH FD TRADE DATE 5/20/97 58.292 SHARES AT $18.50		1,078.40-	1,078.40

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
05/21/97	PURCHASED 38.705 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 5/20/97 38.705 SHARES AT $9.62		372.34-	372.34
05/21/97	PURCHASED 33.303 SH THE ONE GROUP INCOME BOND FD TRADE DATE 5/20/97 33.303 SHARES AT $9.35		311.38-	311.38
05/21/97	PURCHASED 26.502 SH THE ONE GROUP LTD VOLATILITY BD FD TRADE DATE 5/20/97 26.502 SHARES AT $10.43		276.42-	276.42
05/21/97	PURCHASED 14.837 SH THE ONE GROUP GULF SOUTH GROWTH FD TRADE DATE 5/20/97 14.837 SHARES AT $9.91		147.03-	147.03
05/21/97	PURCHASED 7.735 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 5/20/97 7.735 SHARES AT $18.45		142.71-	142.71

TRANSACTION DETAIL

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
05/21/97	PURCHASED 8.353 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 5/20/97 8.353 SHARES AT $9.86		82.36-	82.36
05/21/97	SOLD 429.061 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 5/20/97 429.061 SHARES AT $14.24		6,109.83	5,152.18-
05/21/97	SOLD 181.291 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 5/20/97 181.291 SHARES AT $15.01		2,721.18	2,620.28-
05/21/97	PURCHASED 477.89 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 5/21/97		477.89-	477.89
06/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 5/1/97 TO 5/31/97	2.02		
06/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01535/SH ON 1,373.76 SHARES DUE 6/ 2/97	21.09		

BANK ONE.

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
06/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	33.54		
06/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 5/1/97 TO 5/31/97	14.52		
06/02/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.04681/SH ON 1,568.30 SHARES DUE 6/ 2/97	73.41		
06/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	37.88		
06/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 5/1/97 TO 5/31/97	24.42		
06/02/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00674/SH ON 1,206.81 SHARES DUE 6/ 2/97	8.14		
06/02/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01361/SH ON 2,167.10 SHARES DUE 6/ 2/97	29.49		

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)6/03/97	PURCHASED 244.51 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 6/ 3/97		244.51-	244.51
)6/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END		37.50-	
)6/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END	67.50-		
)6/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 6/10/97		105.00	105.00-
)7/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 6/1/97 TO 6/30/97	3.65		
)7/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01392/SH ON 1,373.76 SHARES DUE 7/ 1/97	19.12		
)7/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	33.62		

BANK ONE.

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
)7/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 6/1/97 TO 6/30/97	15.33		
)7/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00756/SH ON 1,568.30 SHARES DUE 7/ 1/97	11.85		
)7/01/97	INCOME ON THE ONE GROUP INTL EQUITY INDEX FD $ 0.16199/SH ON 849.10 SHARES DUE 7/ 1/97	137.54		
)7/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	38.45		
)7/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 6/1/97 TO 6/30/97	24.15		
)7/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00497/SH ON 1,206.81 SHARES DUE 7/ 1/97	6.00		
)7/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00621/SH ON 2,167.10 SHARES DUE 7/ 1/97	13.45		

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
7/02/97	PURCHASED 303.16 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 7/ 2/97		303.16-	303.16
7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END		37.50-	
7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END	67.50-		
7/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 7/10/97		105.00	105.00-
8/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 7/1/97 TO 7/31/97	4.70		
8/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01188/SH ON 1,373.76 SHARES DUE 8/ 1/97	16.32		
8/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	34.47		

BANK ONE.

3664

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
08/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 7/1/97 TO 7/31/97	15.41		
08/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00942/SH ON 1,568.30 SHARES DUE 8/ 1/97	14.77		
08/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	38.97		
08/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 7/1/97 TO 7/31/97	24.15		
08/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00474/SH ON 1,206.81 SHARES DUE 8/ 1/97	5.72		
08/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00478/SH ON 2,167.10 SHARES DUE 8/ 1/97	10.35		
08/04/97	PURCHASED 164.86 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/ 4/97		164.86-	164.86

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
08/08/97	SOLD 84.56 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 8/ 7/97 84.56 SHARES AT $22.12		1,870.46	1,508.66-
08/08/97	PURCHASED 1,870.46 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/ 8/97		1,870.46-	1,870.46
08/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END		37.50-	
08/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END	67.50-		
08/11/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 8/11/97		105.00	105.00-
09/02/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01443/SH ON 1,373.76 SHARES DUE 9/ 2/97	19.83		
09/02/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	38.96		

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
09/02/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	34.67		
09/02/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 8/1/97 TO 8/31/97	24.31		
09/02/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.05364/SH ON 1,568.30 SHARES DUE 9/ 2/97	84.13		
09/02/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 8/1/97 TO 8/31/97	15.18		
09/02/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.01012/SH ON 2,167.10 SHARES DUE 9/ 2/97	21.94		
09/02/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 8/1/97 TO 8/31/97	11.37		
09/03/97	PURCHASED 250.39 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/ 3/97		250.39-	250.39

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
09/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END		37.50-	
09/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END	67.50-		
09/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/10/97		105.00	105.00-
09/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		1,323.44	
09/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		343.27	
09/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		0.85	
09/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		828.07	
09/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		49.07	
09/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		572.54	

F JAMES BENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
09/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTL EQUITY INDEX FD		112.15	
09/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE CO GROWTH FD		1,862.03	
09/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		446.27	
09/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		1,139.23	
09/22/97	PURCHASED 6,676.92 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 9/22/97		6,676.92-	6,676.92
10/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 9/1/97 TO 9/30/97	22.04		
10/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01077/SH ON 1,373.76 SHARES DUE 10/ 1/97	14.80		
10/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	33.48		

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
10/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 9/1/97 TO 9/30/97	14.93		
10/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00611/SH ON 1,568.30 SHARES DUE 10/ 1/97	9.59		
10/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	38.53		
10/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 9/1/97 TO 9/30/97	23.83		
10/01/97	INCOME ON THE ONE GROUP LARGE CO GROWTH FD $ 0.00722/SH ON 1,206.81 SHARES DUE 10/ 1/97	8.71		
10/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00809/SH ON 2,167.10 SHARES DUE 10/ 1/97	17.54		
10/02/97	PURCHASED 183.45 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 10/ 2/97		183.45-	183.45

BANK ONE.

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END		37.50-	
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END	67.50-		
10/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 10/10/97		105.00	105.00-
11/03/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 10/1/97 TO 10/31/97	44.18		
11/03/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.01846/SH ON 1,373.76 SHARES DUE 11/ 3/97	25.36		
11/03/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	35.04		
11/03/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 10/1/97 TO 10/31/97	15.14		

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/03/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.00354/SH ON 1,568.30 SHARES DUE 11/ 3/97	5.56		
1/03/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	38.58		
1/03/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 10/1/97 TO 10/31/97	24.64		
1/03/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00410/SH ON 2,167.10 SHARES DUE 11/ 3/97	8.88		
1/04/97	PURCHASED 197.38 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 11/ 4/97		197.38-	197.38
1/10/97	PURCHASED 210.241 SH THE ONE GROUP SMALL CAPITALIZATN FD TRADE DATE 11/ 7/97 210.241 SHARES AT $12.90		2,712.11-	2,712.11

BANK ONE.

3672

F JAMES SENSENBRENNER III 1993 TRUST

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/10/97	PURCHASED 103.569 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 11/ 7/97 103.569 SHARES AT $15.32		1,586.67-	1,586.67
11/10/97	PURCHASED 90.198 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 11/ 7/97 90.198 SHARES AT $11.61		1,047.20-	1,047.20
11/10/97	PURCHASED 76.946 SH THE ONE GROUP GOVERNMENT BOND FD TRADE DATE 11/ 7/97 76.946 SHARES AT $9.95		765.61-	765.61
11/10/97	PURCHASED 64.933 SH THE ONE GROUP INCOME BOND FD TRADE DATE 11/ 7/97 64.933 SHARES AT $9.53		618.81-	618.81
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END		37.50-	

3673

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END	67.50-		
11/10/97	SOLD 6,835.4 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 11/10/97		6,835.40	6,835.40-
12/01/97	INCOME THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 11/1/97 TO 11/30/97	22.81		
12/01/97	INCOME ON THE ONE GROUP DISCIPLINED VALUE FD $ 0.00855/SH ON 1,373.76 SHARES DUE 12/ 1/97	11.74		
12/01/97	DIVIDEND ON THE ONE GROUP INCOME BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	36.17		
12/01/97	DIVIDEND ON THE ONE GROUP LTD VOLATILITY BD FD DIVIDEND FROM 11/1/97 TO 11/30/97	14.84		
12/01/97	INCOME ON THE ONE GROUP LARGE COMPANY VALUE FD $ 0.02006/SH ON 1,568.30 SHARES DUE 12/ 1/97	31.46		

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/01/97	DIVIDEND ON THE ONE GROUP GOVERNMENT BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	40.87		
12/01/97	DIVIDEND ON THE ONE GROUP INTERMEDIATE BOND FD DIVIDEND FROM 11/1/97 TO 11/30/97	23.83		
12/01/97	INCOME ON THE ONE GROUP LARGE COMPANY GRWTH FD $ 0.00339/SH ON 1,206.81 SHARES DUE 12/ 1/97	4.09		
12/01/97	INCOME ON THE ONE GROUP VALUE GROWTH FD $ 0.00897/SH ON 2,257.30 SHARES DUE 12/ 1/97	20.24		
12/02/97	PURCHASED 206.05 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/ 2/97		206.05-	206.05
12/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END		37.50-	
12/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END	67.50-		

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TRANSACTION DETAIL

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/10/97	SOLD 105 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/10/97		105.00	105.00-
2/18/97	CASH RECEIPT DEPOSIT TO ACCOUNT RECEIVED FROM F JAMES SENSENBRENNER FBO F JAMES SENSENBRENNER III		17,318.00	
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		1,269.20	
2/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP DISCIPLINED VALUE FD		822.58	
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		264.94	
2/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		1,591.63	
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTL EQUITY INDEX FD		284.66	
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY GRWTH FD		1,421.25	
2/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY GRWTH FD		195.64	

BANK ONE.

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		676.06	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP LARGE COMPANY VALUE FD		161.71	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP SMALL CAPITALIZATN FD		515.10	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP SMALL CAPITALIZATN FD		160.18	
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		546.29	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		866.49	
12/19/97	CASH DISBURSEMENT PAID TO INTERNAL REVENUE SERVICE PERSONAL EST FED INCOME TAX ***1997 FORM 1040ES 226-25-5620		2,500.00-	
12/19/97	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE PERSONAL EST STATE TAX ***1997 FORM 1ES 226-25-5620		1,800.00-	

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/19/97	PURCHASED 21,793.73 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/19/97		21,793.73-	21,793.73
2/22/97	PURCHASED 267.123 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 12/19/97 267.123 SHARES AT $18.56		4,957.80-	4,957.80
2/22/97	PURCHASED 202.277 SH THE ONE GROUP DISCIPLINED VALUE FD TRADE DATE 12/19/97 202.277 SHARES AT $15.46		3,127.20-	3,127.20
2/22/97	PURCHASED 151.962 SH THE ONE GROUP LARGE COMPANY GRWTH FD TRADE DATE 12/19/97 151.962 SHARES AT $17.77		2,700.36-	2,700.36
2/22/97	PURCHASED 197.851 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 12/19/97 197.851 SHARES AT $11.24		2,223.85-	2,223.85

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F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/22/97	PURCHASED 137.086 SH THE ONE GROUP SMALL CAPITALIZATN FD TRADE DATE 12/19/97 137.086 SHARES AT $10.78		1,477.79-	1,477.79
12/22/97	PURCHASED 80.273 SH THE ONE GROUP INTL EQUITY INDEX FD TRADE DATE 12/19/97 80.273 SHARES AT $14.92		1,197.68-	1,197.68
12/22/97	PURCHASED 67.745 SH THE ONE GROUP LARGE COMPANY VALUE FD TRADE DATE 12/19/97 67.745 SHARES AT $14.85		1,006.01-	1,006.01
12/22/97	PURCHASED 62.048 SH THE ONE GROUP INTERMEDIATE BOND FD TRADE DATE 12/19/97 62.048 SHARES AT $10.11		627.31-	627.31
12/22/97	SOLD 17,318 DOLLARS THE ONE GROUP PRIME MONEY MARKET FD TRADE DATE 12/22/97		17,318.00	17,318.00-

F JAMES SENSENBRENNER III 1993 TRUST 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572131210

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/31/97	CASH DISBURSEMENT TRANSFER TO PRINCIPAL	1,814.17-		
12/31/97	CASH RECEIPT TRANSFER FROM INCOME		1,814.17	
12/31/97	ENDING BALANCES	0.00	0.00	157,772.40

INCOME CASH	+	PRINCIPAL CASH	=	NET CASH
0.00		0.00		0.00

BANK ONE.

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INVESTMENT REVIEW

F JAMES SENSENBRENNER III 1993 TRUST

SUMMARY OF ASSETS AS OF 12/31/97

ACCOUNT NUMBER: 9572131210

DESCRIPTION	TAX COST	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	YIELD AT MARKET
CASH EQUIVALENTS	7,801.86	7,801.86	4.27	423.34	5.43
MUTUAL FUNDS - FIXED INCOME	22,375.45	23,018.79	12.60	1,471.40	6.39
COMMON & MUTUAL FUNDS - EQUITIES	127,595.09	151,835.35	83.13	1,153.95	0.76
TOTAL ACCOUNT	157,772.40	182,656.00	100.00	3,048.69	1.67

F JAMES SENSENBRENNER III 1993 TRUST DETAIL OF ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572131210

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
CASH							
0.00	INCOME CASH	0.00		0.00	0.00		
0.00	PRINCIPAL CASH	0.00		0.00	0.00		
0.00	NET CASH	0.00		0.00	0.00		
CASH EQUIVALENTS							
7,801.86	THE ONE GROUP PRIME MONEY MARKET FD	7,801.86	1.00	7,801.86	4.27	423.34	5.43
MUTUAL FUNDS - FIXED INCOME							
839	THE ONE GROUP GOVERNMENT BOND FD	8,012.71	10.01	8,398.42	4.60	499.28	5.94
692.18	THE ONE GROUP INCOME BOND FD	6,434.64	9.48	6,561.90	3.59	449.99	6.86
508.15	THE ONE GROUP INTERMEDIATE BOND FD	4,986.55	10.06	5,112.02	2.80	344.05	6.73

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F JAMES SENSENBRENNER III 1993 TRUST DETAIL OF ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572131210

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
281.15	THE ONE GROUP LTD VOLATILITY BD FD	2,941.55	10.48	2,946.45	1.61	178.08	6.04
TOTAL MUTUAL FUNDS - FIXED INCOME		22,375.45		23,018.79	12.60	1,471.40	6.39
COMMON & MUTUAL FUNDS - EQUITIES							
1,576.03	THE ONE GROUP DISCIPLINED VALUE FD	20,716.01	16.08	25,342.61	13.87	263.10	1.04
1,309.07	THE ONE GROUP GRWTH OPPORTUNITIES FD	22,217.28	19.44	25,448.36	13.93	0.00	0.00
1,032.94	THE ONE GROUP INTL EQUITY INDEX FD	14,519.58	15.23	15,731.65	8.61	189.52	1.20
1,358.78	THE ONE GROUP LARGE COMPANY GRWTH FD	17,987.99	18.24	24,784.06	13.57	81.99	0.33
1,636.04	THE ONE GROUP LARGE COMPANY VALUE FD	19,120.50	15.19	24,851.45	13.61	393.08	1.58
645.52	THE ONE GROUP SMALL CAPITALIZATN FD	7,158.66	11.34	7,320.20	4.01	0.00	0.00
2,455.15	THE ONE GROUP VALUE GROWTH FD	25,883.07	11.55	28,357.02	15.52	226.26	0.80
TOTAL COMMON & MUTUAL FUNDS - EQUITIES		127,595.09		151,835.35	83.13	1,153.95	0.76
TOTAL ACCOUNT		157,772.40		182,656.00	100.00	3,048.69	1.67

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F JAMES SENSENBRENNER III 1993 TRUST DETAIL OF PENDING ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572131210

PENDING TRADES: NONE

BANK ONE TRUST COMPANY, NA
111 E WISCONSIN AVE
MILWAUKEE, WI 53202

STATEMENT OF ACCOUNT
FOR PERIOD 01/01/97 THROUGH 12/31/97

MARGARET L SMITH 96 EXEMPT F JAMES

ACCOUNT NUMBER 9572226310

FOR ASSISTANCE, PLEASE CONTACT
LYNN E PAULL
(414) 765-2751

F JAMES SENSENBRENNER JR
609 FORT WILLIAMS PKWY
ALEXANDRIA VA 22304-1813

BANK ONE.

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STATEMENT MESSAGES

ACCOUNT NO. 9572226310 MARGARET L SMITH 96 EXEMPT F JAMES

MUTUAL FUNDS, INCLUDING PROPRIETARY MUTUAL FUNDS, AND VARIOUS OTHER MARKETABLE SECURITIES ARE NOT INSURED OR GUARANTEED BY THE FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC) OR ANY OTHER GOVERNMENT SPONSORED AGENCY OF THE FEDERAL GOVERNMENT OR ANY STATE. ALL INVOLVE INVESTMENT RISKS, INCLUDING POSSIBLE LOSS OF PRINCIPAL AMOUNT INVESTED. "THE ONE GROUP" FUNDS ARE NOT DEPOSITS OR OBLIGATIONS OF, AND ARE NOT GUARANTEED BY, BANC ONE CORPORATION OR ITS BANK OR NON-BANK AFFILIATES.

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ALTHOUGH MARKET VALUES AND PRICES HAVE BEEN OBTAINED FROM SOURCES WE BELIEVE TO BE RELIABLE, WE DO NOT GUARANTEE THEIR ACCURACY. CERTAIN FIXED INCOME SECURITIES AND ASSETS THAT ARE NOT PUBLICLY OR FREQUENTLY TRADED CANNOT BE READILY PRICED.

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THIS STATEMENT IS NOT AN OFFICIAL DOCUMENT FOR INCOME TAX REPORTING PURPOSES.

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"THE ONE GROUP GULF SOUTH GROWTH FUND" WAS RENAMED "THE ONE GROUP SMALL CAPITALIZATION FUND" AS OF NOVEMBER 1, 1997. IN ADDITION TO THE NAME CHANGE, THE FUND OBJECTIVES HAVE ALSO CHANGED. TO OBTAIN A COPY OF THE PROSPECTUS, PLEASE CONTACT THE ONE GROUP HELP DESK AT 1-800-480-4111. IF YOU HAVE ANY QUESTIONS ABOUT THESE CHANGES, PLEASE CONTACT YOUR RELATIONSHIP MANAGER.

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TRANSACTION SUMMARY

MARGARET L SMITH 96 EXEMPT F JAMES — 12/31/96 THROUGH 12/31/97 — ACCOUNT NUMBER 9572226310

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
BEGINNING BALANCES 12/31/96	0.00	0.00	348,382.91
CASH RECEIPTS			
NET INTEREST	1,345.14		
NET DIVIDENDS	8,951.84	16,169.31	
TOTAL CASH RECEIPTS	10,296.98	16,169.31	0.00
CASH DISBURSEMENTS			
DISTRIBUTIONS TO BENEFICIARIES	8,179.59-		
FIDUCIARY INCOME TAXES		444.00-	
ADMINISTRATIVE EXPENSES	2,117.39-	1,708.07-	
TOTAL CASH DISBURSEMENTS	10,296.98-	2,152.07-	0.00
INVESTMENT TRANSACTIONS			
PURCHASES		143,445.73-	143,445.73
SALES/MATURITIES		132,660.95	133,981.73-
DISTRIBUTIONS IN KIND			6,995.00-
ASSETS RECEIVED IN KIND			6,995.00
NET PURCHASES/SALES CASH MANAGEMENT VEHICLE		3,232.46-	3,232.46

BANK ONE.

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TRANSACTION SUMMARY

HARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
TOTAL INVESTMENT TRANSACTIONS		14,017.24-	12,696.46
ENDING BALANCES 12/31/97	0.00	0.00	361,079.37

TRANSACTION DETAIL

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/31/96	BEGINNING BALANCES	0.00	0.00	348,382.91
	CASH RECEIPTS			
	NET INTEREST			
	THE ONE GROUP PRIME MONEY MARKET FD			
01/02/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 12/1/96 TO 12/31/96	914.51		
02/03/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 1/1/97 TO 1/31/97	62.10		
03/03/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 2/1/97 TO 2/28/97	57.48		
04/01/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 3/1/97 TO 3/31/97	59.27		
05/01/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 4/1/97 TO 4/30/97	108.45		
06/02/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 5/1/97 TO 5/31/97	13.49		
07/01/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 6/1/97 TO 6/30/97	9.59		

BANK ONE.

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
08/01/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 7/1/97 TO 7/31/97	9.51		
09/02/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 8/1/97 TO 8/31/97	10.87		
10/01/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 9/1/97 TO 9/30/97	16.85		
11/03/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 10/1/97 TO 10/31/97	41.40		
12/01/97	THE ONE GROUP PRIME MONEY MARKET FD INTEREST FROM 11/1/97 TO 11/30/97	41.62		
	TOTAL THE ONE GROUP PRIME MONEY MARKET FD	1,345.14		
	TOTAL NET INTEREST	1,345.14		
	NET DIVIDENDS			
	ABBOTT LABS			
05/15/97	ABBOTT LABS $0.27/SHARES ON 150. SHARES DUE 5/15/97	40.50		

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MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
8/15/97	ABBOTT LABS $0.27/SHARES ON 150. SHARES DUE 8/15/97	40.50		
11/17/97	ABBOTT LABS $0.27/SHARES ON 150. SHARES DUE 11/15/97	40.50		
	TOTAL ABBOTT LABS	121.50		
	BRISTOL MYERS SQUIBB CO			
5/01/97	BRISTOL MYERS SQUIBB CO $0.38/SHARES ON 100. SHARES DUE 5/ 1/97	38.00		
8/01/97	BRISTOL MYERS SQUIBB CO $0.38/SHARES ON 100. SHARES DUE 8/ 1/97	38.00		
1/03/97	BRISTOL MYERS SQUIBB CO $0.38/SHARES ON 100. SHARES DUE 11/ 1/97	38.00		

BANK ONE.

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MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL BRISTOL MYERS SQUIBB CO	114.00		
	CHS ENERGY CORP			
5/22/97	CHS ENERGY CORP $0.27/SHARES ON 200. SHARES DUE 5/22/97	54.00		
8/22/97	CHS ENERGY CORP $0.30/SHARES ON 200. SHARES DUE 8/22/97	60.00		
1/21/97	CHS ENERGY CORP $0.30/SHARES ON 200. SHARES DUE 11/21/97	60.00		
	TOTAL CHS ENERGY CORP	174.00		
	EMERSON ELEC CO			
6/10/97	EMERSON ELEC CO $0.27/SHARES ON 100. SHARES DUE 6/10/97	27.00		
9/10/97	EMERSON ELEC CO $0.27/SHARES ON 100. SHARES DUE 9/10/97	27.00		

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MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
12/10/97	EMERSON ELEC CO $0.295/SHARES ON 100. SHARES DUE 12/10/97	29.50		
	TOTAL EMERSON ELEC CO	83.50		
	EXXON CORP			
06/10/97	EXXON CORP $0.41/SHARES ON 100. SHARES DUE 6/10/97	41.00		
09/10/97	EXXON CORP $0.41/SHARES ON 100. SHARES DUE 9/10/97	41.00		
12/10/97	EXXON CORP $0.41/SHARES ON 100. SHARES DUE 12/10/97	41.00		
	TOTAL EXXON CORP	123.00		

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MARGARET L, SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	FIRST UN CORP			
/16/97	FIRST UN CORP $0.58/SHARES ON 50. SHARES DUE 6/16/97	29.00		
/15/97	FIRST UN CORP $0.32/SHARES ON 100. SHARES DUE 9/15/97	32.00		
/15/97	FIRST UN CORP $0.32/SHARES ON 100. SHARES DUE 12/15/97	32.00		
	TOTAL FIRST UN CORP	93.00		
	FORD MTR CO DEL			
/02/97	FORD MTR CO DEL $0.42/SHARES ON 200. SHARES DUE 6/ 2/97	84.00		
/02/97	FORD MTR CO DEL $0.42/SHARES ON 200. SHARES DUE 9/ 2/97	84.00		
/01/97	FORD MTR CO DEL $0.42/SHARES ON 200. SHARES DUE 12/ 1/97	84.00		

MARGARET .L SMITH 96 EXEMPT F JAMES

12/31/96 THROUGH 12/31/97

ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL FORD MTR CO DEL	252.00		
	GENERAL ELEC CO			
)7/25/97	GENERAL ELEC CO $0.26/SHARES ON 100. SHARES DUE 7/25/97	26.00		
10/27/97	GENERAL ELEC CO $0.26/SHARES ON 100. SHARES DUE 10/27/97	26.00		
	TOTAL GENERAL ELEC CO	52.00		
	GTE CORP			
)7/01/97	GTE CORP $0.47/SHARES ON 150. SHARES DUE 7/ 1/97	70.50		
10/01/97	GTE CORP $0.47/SHARES ON 150. SHARES DUE 10/ 1/97	70.50		

BANK ONE.

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MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL GTE CORP	141.00		
	HARTFORD FINL SVCS GROUP INC			
7/01/97	HARTFORD FINL SVCS GROUP INC $0.40/SHARES ON 100. SHARES DUE 7/ 1/97	40.00		
0/01/97	HARTFORD FINL SVCS GROUP INC $0.40/SHARES ON 100. SHARES DUE 10/ 1/97	40.00		
	TOTAL HARTFORD FINL SVCS GROUP INC	80.00		
	HEWLETT PACKARD CO			
7/09/97	HEWLETT PACKARD CO $0.14/SHARES ON 50. SHARES DUE 7/ 9/97	7.00		
0/15/97	HEWLETT PACKARD CO $0.14/SHARES ON 50. SHARES DUE 10/15/97	7.00		

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL HEWLETT PACKARD CO	14.00		
	INTEL CORP			
06/02/97	INTEL CORP $0.05/SHARES ON 25. SHARES DUE 6/ 1/97	1.25		
09/02/97	INTEL CORP $0.03/SHARES ON 50. SHARES DUE 9/ 1/97	1.50		
12/01/97	INTEL CORP $0.03/SHARES ON 50. SHARES DUE 12/ 1/97	1.50		
	TOTAL INTEL CORP	4.25		
	INTERNATIONAL BUSINESS MACHS CORP			
06/10/97	INTERNATIONAL BUSINESS MACHS CORP $0.20/SHARES ON 50. SHARES DUE 6/10/97	10.00		
09/10/97	INTERNATIONAL BUSINESS MACHS CORP $0.20/SHARES ON 50. SHARES DUE 9/10/97	10.00		

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/10/97	INTERNATIONAL BUSINESS MACHS CORP $0.20/SHARES ON 50. SHARES DUE 12/10/97	10.00		
	TOTAL INTERNATIONAL BUSINESS MACHS CORP	30.00		
	LOCKHEED MARTIN CORP			
6/30/97	LOCKHEED MARTIN CORP $0.40/SHARES ON 50. SHARES DUE 6/30/97	20.00		
9/30/97	LOCKHEED MARTIN CORP $0.40/SHARES ON 50. SHARES DUE 9/30/97	20.00		
2/31/97	LOCKHEED MARTIN CORP $0.40/SHARES ON 50. SHARES DUE 12/31/97	20.00		
	TOTAL LOCKHEED MARTIN CORP	60.00		

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MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	MOBIL CORP			
6/10/97	MOBIL CORP $1.06/SHARES ON 50. SHARES DUE 6/10/97	53.00		
9/10/97	MOBIL CORP $0.53/SHARES ON 100. SHARES DUE 9/10/97	53.00		
2/10/97	MOBIL CORP $0.53/SHARES ON 100. SHARES DUE 12/10/97	53.00		
	TOTAL MOBIL CORP	159.00		
	MONSANTO CO			
6/12/97	MONSANTO CO $0.16/SHARES ON 100. SHARES DUE 6/12/97	16.00		
9/12/97	MONSANTO CO $0.16/SHARES ON 100. SHARES DUE 9/12/97	16.00		
2/12/97	MONSANTO CO $0.03/SHARES ON 100. SHARES DUE 12/12/97	3.00		

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL MONSANTO CO	35.00		
	MORGAN J P & CO INC			
7/15/97	MORGAN J P & CO INC $0.88/SHARES ON 50. SHARES DUE 7/15/97	44.00		
0/15/97	MORGAN J P & CO INC $0.88/SHARES ON 50. SHARES DUE 10/15/97	44.00		
	TOTAL MORGAN J P & CO INC	88.00		
	SARA LEE CORP			
7/01/97	SARA LEE CORP $0.21/SHARES ON 150. SHARES DUE 7/ 1/97	31.50		
0/01/97	SARA LEE CORP $0.21/SHARES ON 150. SHARES DUE 10/ 1/97	31.50		

3700

HARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL SARA LEE CORP	63.00		
	SOLUTIA INC			
2/12/97	SOLUTIA INC $0.01/SHARES ON 20. SHARES DUE 12/12/97	0.20		
	SUPERVALU INC			
6/16/97	SUPERVALU INC $0.25/SHARES ON 100. SHARES DUE 6/15/97	25.00		
9/15/97	SUPERVALU INC $0.26/SHARES ON 100. SHARES DUE 9/15/97	26.00		
2/15/97	SUPERVALU INC $0.26/SHARES ON 100. SHARES DUE 12/15/97	26.00		
	TOTAL SUPERVALU INC	77.00		

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TRAVELERS GROUP INC			
5/23/97	TRAVELERS GROUP INC $0.15/SHARES ON 100. SHARES DUE 5/23/97	15.00		
3/22/97	TRAVELERS GROUP INC $0.15/SHARES ON 100. SHARES DUE 8/22/97	15.00		
1/26/97	TRAVELERS GROUP INC $0.10/SHARES ON 150. SHARES DUE 11/26/97	15.00		
	TOTAL TRAVELERS GROUP INC	45.00		
	WAL MART STORES INC			
7/14/97	WAL MART STORES INC $0.0675/SHARES ON 150. SHARES DUE 7/14/97	10.13		
)/14/97	WAL MART STORES INC $0.0675/SHARES ON 150. SHARES DUE 10/14/97	10.13		

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL WAL MART STORES INC	20.26		
	THE ONE GROUP EQUITY INDEX FD			
)1/02/97	THE ONE GROUP EQUITY INDEX FD $0.03093/SHARES ON 6,695.23 SHARES DUE 1/ 2/97	207.06		
)2/03/97	THE ONE GROUP EQUITY INDEX FD $0.01979/SHARES ON 6,695.23 SHARES DUE 2/ 3/97	132.48		
)3/03/97	THE ONE GROUP EQUITY INDEX FD $0.03376/SHARES ON 6,695.23 SHARES DUE 3/ 3/97	226.02		
)4/01/97	THE ONE GROUP EQUITY INDEX FD $0.02827/SHARES ON 6,695.23 SHARES DUE 4/ 1/97	189.28		
	TOTAL THE ONE GROUP EQUITY INDEX FD	754.84		
	THE ONE GROUP GRWTH OPPORTUNITIES FD			
)9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		1.00	
)9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		973.94	

BANK ONE.

3703

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		311.61	
2/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP GRWTH OPPORTUNITIES FD		1,871.99	
	TOTAL THE ONE GROUP GRWTH OPPORTUNITIES FD		3,158.54	
	THE ONE GROUP INTERMED TAX FREE FD			
1/02/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 12/1/96 TO 12/31/96	15.39		
2/03/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 1/1/97 TO 1/31/97	254.85		
3/03/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 2/1/97 TO 2/28/97	253.22		
4/01/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 3/1/97 TO 3/31/97	287.78		
5/01/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 4/1/97 TO 4/30/97	252.67		
6/02/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 5/1/97 TO 5/31/97	261.92		

3704

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
7/01/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 6/1/97 TO 6/30/97	255.85		
8/01/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 7/1/97 TO 7/31/97	260.43		
9/02/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 8/1/97 TO 8/31/97	259.04		
0/01/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 9/1/97 TO 9/30/97	248.89		
1/03/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 10/1/97 TO 10/31/97	255.37		
2/01/97	THE ONE GROUP INTERMED TAX FREE FD DIVIDEND FROM 11/1/97 TO 11/30/97	247.59		
2/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTERMED TAX FREE FD		164.05	
2/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP INTERMED TAX FREE FD		277.40	

BANK ONE.

3705

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL THE ONE GROUP INTERMED TAX FREE FD	2,853.00	441.45	
	THE ONE GROUP MUNICIPAL INCOME FD			
1/02/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 12/1/96 TO 12/31/96	14.72		
2/03/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 1/1/97 TO 1/31/97	226.46		
3/03/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 2/1/97 TO 2/28/97	203.41		
4/01/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 3/1/97 TO 3/31/97	223.95		
5/01/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 4/1/97 TO 4/30/97	244.93		
6/02/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 5/1/97 TO 5/31/97	254.17		
7/01/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 6/1/97 TO 6/30/97	245.31		
8/01/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 7/1/97 TO 7/31/97	249.68		

3706

HARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
09/02/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 8/1/97 TO 8/31/97	249.46		
10/01/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 9/1/97 TO 9/30/97	241.02		
11/03/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 10/1/97 TO 10/31/97	246.71		
12/01/97	THE ONE GROUP MUNICIPAL INCOME FD DIVIDEND FROM 11/1/97 TO 11/30/97	238.99		
	TOTAL THE ONE GROUP MUNICIPAL INCOME FD	2,638.81		
	THE ONE GROUP VALUE GROWTH FD			
01/02/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	75.77		
02/03/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	45.49		
03/03/97	THE ONE GROUP VALUE GROWTH FD $0.01312/SHARES ON 10,172.94 SHARES DUE 3/ 3/97	133.44		

3707

BANK ONE.

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/01/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	75.61		
5/01/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	27.82		
5/02/97	THE ONE GROUP VALUE GROWTH FD $0.01361/SHARES ON 9,259.23 SHARES DUE 6/ 2/97	125.99		
7/01/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	57.47		
8/01/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	44.23		
9/02/97	THE ONE GROUP VALUE GROWTH FD $0.01012/SHARES ON 9,259.23 SHARES DUE 9/ 2/97	93.74		
9/19/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		1,906.75	
9/19/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		4,867.49	

TRANSACTION DETAIL

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
10/01/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	74.93		
11/03/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	37.95		
12/01/97	THE ONE GROUP VALUE GROWTH FD CASH RECEIPT OF DIVIDEND EARNED	83.04		
12/18/97	RECEIVED A LT CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		2,240.83	
12/18/97	RECEIVED A ST CAPITAL GAINS DISTRIBUTION THE ONE GROUP VALUE GROWTH FD		3,554.25	
	TOTAL THE ONE GROUP VALUE GROWTH FD	875.48	12,569.32	

BANK ONE.

3709

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL NET DIVIDENDS	8,951.84	16,169.31	
	TOTAL CASH RECEIPTS	10,296.98	16,169.31	
	CASH DISBURSEMENTS			
	DISTRIBUTIONS TO BENEFICIARIES			
03/10/97	PAID TO BANK ONE WISCONSIN PAYMENT FOR BENEFICIARY DEPOSIT TO C/A #550462366	2,426.42-		
06/10/97	PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT 075000019-550462366	1,975.12-		
09/10/97	PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT 075000019-550462366	1,812.79-		
12/10/97	PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT 075000019-550462366	1,884.06-		
12/31/97	PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT 075000019-550462366	81.20-		

3710

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL DISTRIBUTIONS TO BENEFICIARIES	8,179.59-		
	FIDUCIARY INCOME TAXES			
04/07/97	PAID TO INTERNAL REVENUE SERVICE FIDUCIARY EST FED INCOME TAX ***145 FOR 12/31/97		16.00-	
04/07/97	PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX ***145 FOR 12/31/97		18.00-	
04/07/97	PAID TO INTERNAL REVENUE SERVICE FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN		165.00-	
04/07/97	PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY STATE INCOME TAX TAX DUE ON FORM 2 FOR CALENDAR YEAR RETURN		55.00-	
09/09/97	PAID TO INTERNAL REVENUE SERVICE FIDUCIARY EST FED INCOME TAX ***145 FOR 12/31/97		152.00-	
09/11/97	PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX		38.00-	

BANK ONE.

3711

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL FIDUCIARY INCOME TAXES		444.00-	
	ADMINISTRATIVE EXPENSES			
1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END		80.65-	
1/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 12/31/96 THROUGH THE PRIOR MONTH END	80.64-		
1/28/97	REVERSAL OF FEE	59.78		
1/28/97	REVERSAL OF FEE	59.78-		
2/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END		125.00-	
2/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 1/31/97 THROUGH THE PRIOR MONTH END	157.67-		

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
03/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END		125.00-	
03/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 2/28/97 THROUGH THE PRIOR MONTH END	157.67-		
04/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END		125.00-	
04/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 3/31/97 THROUGH THE PRIOR MONTH END	157.67-		
05/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END		142.40-	
05/12/97	TRUSTEE FEE FOR THE PERIOD THROUGH 4/30/97 THROUGH THE PRIOR MONTH END	175.07-		
06/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END		148.56-	

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
6/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 5/31/97 THROUGH THE PRIOR MONTH END	181.22-		
6/25/97	MISCELLANEOUS TAX SERVICE FEES RE GENERATION SKIPPING REVIEW FOR 1996	50.00-		
7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END		153.11-	
7/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 6/30/97 THROUGH THE PRIOR MONTH END	185.77-		
8/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END		163.38-	
8/11/97	TRUSTEE FEE FOR THE PERIOD THROUGH 7/31/97 THROUGH THE PRIOR MONTH END	196.05-		
9/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END		157.03-	

3714

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
09/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 8/31/97 THROUGH THE PRIOR MONTH END	189.70-		
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END		163.64-	
10/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 9/30/97 THROUGH THE PRIOR MONTH END	196.30-		
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END		159.28-	
11/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 10/31/97 THROUGH THE PRIOR MONTH END	191.94-		
12/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END		165.02-	
12/10/97	TRUSTEE FEE FOR THE PERIOD THROUGH 11/30/97 THROUGH THE PRIOR MONTH END	197.69-		

BANK ONE.

3715

HARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	TOTAL ADMINISTRATIVE EXPENSES	2,117.39-	1,708.07-	
	TOTAL CASH DISBURSEMENTS	10,296.98-	2,152.07-	
	INVESTMENT TRANSACTIONS			
	PURCHASES			
4/04/97	PURCHASED 150 SH ABBOTT LABS TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $15.00 BROKERAGE 150 SHARES AT $56.00		8,415.00-	8,415.00
4/04/97	PURCHASED 100 SH BRISTOL MYERS SQUIBB CO TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $13.34 BROKERAGE 100 SHARES AT $61.625		6,175.84-	6,175.84
4/04/97	PURCHASED 200 SH CHS ENERGY CORP TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $14.00 BROKERAGE 200 SHARES AT $32.625		6,539.00-	6,539.00

3716

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/21/97	PURCHASED 100 SH EMERSON ELEC CO TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 100 SHARES AT $48.125		4,832.50-	4,832.50
04/04/97	PURCHASED 50 SH EXXON CORP TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $10.00 BROKERAGE 50 SHARES AT $106.50		5,335.00-	5,335.00
04/21/97	PURCHASED 50 SH FIRST UN CORP TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 50 SHARES AT $80.375		4,038.75-	4,038.75
04/04/97	PURCHASED 200 SH FORD MTR CO DEL TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $14.00 BROKERAGE 200 SHARES AT $31.375		6,289.00-	6,289.00

BANK ONE.

3717

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/04/97	PURCHASED 50 SH GENERAL ELEC CO TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $6.67 BROKERAGE 50 SHARES AT $99.375		4,975.42-	4,975.42
04/04/97	PURCHASED 150 SH GTE CORP TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $15.00 BROKERAGE 150 SHARES AT $45.50		6,840.00-	6,840.00
04/04/97	PURCHASED 50 SH HEWLETT PACKARD CO TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $10.00 BROKERAGE 50 SHARES AT $51.875		2,603.75-	2,603.75
04/04/97	PURCHASED 25 SH INTEL CORP TRADE DATE 4/ 1/97 PURCHASED THROUGH GOLDMAN, SACHS 25 SHARES AT $138.625		3,465.63-	3,465.63

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/04/97	PURCHASED 25 SH INTERNATIONAL BUSINESS MACHS CORP TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $5.00 BROKERAGE 25 SHARES AT $136.50		3,417.50-	3,417.50
04/21/97	PURCHASED 100 SH ITT HARTFORD GROUP INC TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 100 SHARES AT $69.75		6,995.00-	6,995.00
04/21/97	PURCHASED 50 SH LOCKHEED MARTIN CORP TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 50 SHARES AT $84.25		4,232.50-	4,232.50
04/04/97	PURCHASED 25 SH MICROSOFT CORP TRADE DATE 4/ 1/97 PURCHASED THROUGH MER LYNCH, PIERCE, FEN & SMITH 25 SHARES AT $92.75		2,318.75-	2,318.75

BANK ONE.

3719

HARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
1/04/97	PURCHASED 50 SH MOBIL CORP TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $6.67 BROKERAGE 50 SHARES AT $130.50		6,531.67-	6,531.67
1/21/97	PURCHASED 100 SH MONSANTO CO TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 100 SHARES AT $39.75		3,995.00-	3,995.00
1/04/97	PURCHASED 50 SH MORGAN J P & CO INC TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $6.67 BROKERAGE 50 SHARES AT $99.75		4,994.17-	4,994.17
1/04/97	PURCHASED 150 SH SARA LEE CORP TRADE DATE 4/ 1/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $15.00 BROKERAGE 150 SHARES AT $40.625		6,108.75-	6,108.75

3720

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
04/21/97	PURCHASED 100 SH SUPERVALU INC TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 100 SHARES AT $28.75		2,895.00-	2,895.00
04/21/97	PURCHASED 150 SH TOYS "R" US INC TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 150 SHARES AT $27.75		4,182.50-	4,182.50
04/21/97	PURCHASED 100 SH TRAVELERS GROUP INC TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 100 SHARES AT $50.25		5,045.00-	5,045.00
04/21/97	PURCHASED 150 SH WAL MART STORES INC TRADE DATE 4/16/97 PURCHASED THROUGH EXECUTION SERVICES, INC. PAID $20.00 BROKERAGE 150 SHARES AT $28.00		4,220.00-	4,220.00

3721

BANK ONE.

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/03/97	PURCHASED 1,225.49 SH THE ONE GROUP GRWTH OPPORTUNITIES FD TRADE DATE 4/ 2/97 1,225.49 SHARES AT $16.32		20,000.00-	20,000.00
4/03/97	PURCHASED 279.07 SH THE ONE GROUP INTERMED TAX FREE FD TRADE DATE 4/ 2/97 279.07 SHARES AT $10.75		3,000.00-	3,000.00
4/03/97	PURCHASED 617.284 SH THE ONE GROUP MUNICIPAL INCOME FD TRADE DATE 4/ 2/97 617.284 SHARES AT $9.72		6,000.00-	6,000.00
	TOTAL PURCHASES		143,445.73-	143,445.73
	SALES/MATURITIES			
4/03/97	SOLD 6,695.233 SH THE ONE GROUP EQUITY INDEX FD TRADE DATE 4/ 2/97 ST CAPITAL LOSS OF $1,339.05- ON FEDERAL COST ST CAPITAL LOSS OF $1,339.05- ON STATE COST FEDERAL TAX COST $125,000.00 STATE TAX COST $125,000.00 6,695.233 SHARES AT $18.47		123,660.95	125,000.00-

3722

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
4/18/97	SOLD 913.706 SH THE ONE GROUP VALUE GROWTH FD TRADE DATE 4/17/97 ST CAPITAL GAIN OF $18.27 ON FEDERAL COST ST CAPITAL GAIN OF $18.27 ON STATE COST FEDERAL TAX COST $8,981.73 STATE TAX COST $8,981.73 913.706 SHARES AT $9.85		9,000.00	8,981.73-
	TOTAL SALES/MATURITIES		132,660.95	133,981.73-
	DISTRIBUTIONS IN KIND			
5/06/97	DISTRIBUTED 100 SH ITT HARTFORD GROUP INC NAME CHANGED TO HARTFORD FINL SVCS GRP CUSIP: 416515104			6,995.00-
	TOTAL DISTRIBUTIONS IN KIND			6,995.00-
	ASSETS RECEIVED IN KIND			
4/11/97	2 FOR 1 STOCK SPLIT EXXON CORP 50.00 ADDITIONAL SHARES RECEIVED			

3723

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
8/01/97	2 FOR 1 STOCK SPLIT FIRST UN CORP 50.00 ADDITIONAL SHARES RECEIVED			
5/09/97	2 FOR 1 STOCK SPLIT GENERAL ELEC CO 50.00 ADDITIONAL SHARES RECEIVED			
5/06/97	RECEIVED 100 SH HARTFORD FINL SVCS GROUP INC NAME CHANGED FROM ITT HARTFORD GRP INC. CUSIP: 45068H106			6,995.00
7/14/97	2 FOR 1 STOCK SPLIT INTEL CORP 25.00 ADDITIONAL SHARES RECEIVED			
5/28/97	2 FOR 1 STOCK SPLIT INTERNATIONAL BUSINESS MACHS CORP 25.00 ADDITIONAL SHARES RECEIVED			
6/25/97	2 FOR 1 STOCK SPLIT MOBIL CORP 50.00 ADDITIONAL SHARES RECEIVED			
9/05/97	RECEIVED 20 SH SOLUTIA INC DUE TO SPINOFF FROM MONSANTO CO CUSIP: 611662107			0.00

MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
11/20/97	3 FOR 2 STOCK SPLIT TRAVELERS GROUP INC 50.00 ADDITIONAL SHARES RECEIVED			
	TOTAL ASSETS RECEIVED IN KIND		0.00	6,995.00
	ADJUSTMENTS TO FEDERAL BASIS			
09/10/97	FED BASIS ADJUSTED BY 341.57- MONSANTO CO FROM 3,995.0TO 3,653.43 DUE TO SPINOFF TO C#834376105			341.57-
09/10/97	FED BASIS ADJUSTED BY 341.57 SOLUTIA INC FROM 0.0TO 341.57 DUE TO SPINOFF TO C#834376105			341.57
	TOTAL ADJUSTMENTS TO FEDERAL BASIS			0.00
	OTHER ADJUSTMENTS			
09/10/97	SPIN OFF BOOK VALUE OF MONSANTO CO ADJUSTED BY $-341.57 OLD: $3,995.00 /NEW $3,653.43 DUE TO SPINOFF TO C#834376105			

BANK ONE.

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MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
09/10/97	STATE COST ADJUSTED BY -341.57 MONSANTO CO FROM 3,995.00 TO 3,653.43 DUE TO SPINOFF TO C#834376105			
09/10/97	STATE COST ADJUSTED BY 341.57 SOLUTIA INC FROM 0.00 TO 341.57 DUE TO SPINOFF TO C#834376105			
09/10/97	SPIN OFF BOOK VALUE OF SOLUTIA INC ADJUSTED BY $341.57 OLD: $0.00 /NEW $341.57 DUE TO SPINOFF TO C#834376105			
	TOTAL OTHER ADJUSTMENTS			0.00

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MARGARET L SMITH 96 EXEMPT F JAMES 12/31/96 THROUGH 12/31/97 ACCOUNT NUMBER 9572226310

DATE POSTED	DESCRIPTION	INCOME CASH	PRINCIPAL CASH	INVESTMENTS AT TAX COST
	PURCHASES/SALES			
	CASH MANAGEMENT VEHICLE			
	THE ONE GROUP PRIME MONEY MARKET 48 PURCHASE TRANSACTIONS CONSOLIDATED FOR THE PERIOD 12/31/96 - 12/31/97		129,911.77-	129,911.77
	THE ONE GROUP PRIME MONEY MARKET 22 SALE TRANSACTIONS CONSOLIDATED FOR THE PERIOD 12/31/96 - 12/31/97		126,679.31	126,679.31-
	NET PURCHASES/SALES CASH MANAGEMENT VEHICLE		3,232.46-	3,232.46
	TOTAL INVESTMENT TRANSACTIONS		14,017.24-	12,696.46
12/31/97	ENDING BALANCES	0.00	0.00	361,079.37

INCOME CASH	+	PRINCIPAL CASH	=	NET CASH
0.00		0.00		0.00

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HARGARET L SMITH 96 EXEMPT F JAMES

SUMMARY OF ASSETS AS OF 12/31/97

ACCOUNT NUMBER: 9572226310

DESCRIPTION	TAX COST	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	YIELD AT MARKET
CASH EQUIVALENTS	16,615.37	16,615.37	3.98	901.58	5.43
MUNICIPAL OBLIGATIONS	119,000.00	122,189.57	29.25	5,938.31	4.86
COMMON STOCK	114,445.73	148,193.76	35.47	2,811.70	1.90
COMMON & MUTUAL FUNDS - EQUITIES	111,018.27	130,767.68	31.30	853.31	0.65
TOTAL ACCOUNT	361,079.37	417,766.38	100.00	10,504.90	2.51

MARGARET L SMITH 96 EXEMPT F JAMES DETAIL OF ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572226310

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
CASH							
0.00	INCOME CASH	0.00		0.00	0.00		
0.00	PRINCIPAL CASH	0.00		0.00	0.00		
0.00	NET CASH	0.00		0.00	0.00		
CASH EQUIVALENTS							
16,615.37	THE ONE GROUP PRIME MONEY MARKET FD	16,615.37	1.00	16,615.37	3.98	901.58	5.43
MUNICIPAL OBLIGATIONS							
5,788.71	THE ONE GROUP INTERMED TAX FREE FD	63,000.00	11.14	64,486.25	15.44	3,004.32	4.66 0.00
5,724.54	THE ONE GROUP MUNICIPAL INCOME FD	56,000.00	10.08	57,703.32	13.81	2,933.99	5.08 0.00
TOTAL MUNICIPAL OBLIGATIONS		119,000.00		122,189.57	29.25	5,938.31	4.86

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MARGARET L SMITH 96 EXEMPT F JAMES DETAIL OF ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572226310

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
COMMON STOCK							
150	ABBOTT LABS	8,415.00	65.50	9,825.00	2.35	162.00	1.65
100	BRISTOL MYERS SQUIBB CO	6,175.84	94.63	9,462.50	2.27	156.00	1.65
200	CMS ENERGY CORP	6,539.00	44.06	8,812.60	2.11	240.00	2.72
100	EMERSON ELEC CO	4,832.50	56.44	5,643.80	1.35	118.00	2.09
100	EXXON CORP	5,335.00	61.19	6,118.80	1.46	164.00	2.68
100	FIRST UN CORP	4,038.75	51.25	5,125.00	1.23	148.00	2.89
200	FORD MTR CO DEL	6,289.00	48.56	9,712.60	2.32	336.00	3.46
100	GENERAL ELEC CO	4,975.42	73.38	7,337.50	1.76	120.00	1.64
150	GTE CORP	6,840.00	52.25	7,837.50	1.88	282.00	3.60
100	HARTFORD FINL SVCS GROUP INC	6,995.00	93.56	9,356.30	2.24	160.00	1.71

MARGARET L SMITH 96 EXEMPT F JAMES DETAIL OF ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572226310

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
50	HEWLETT PACKARD CO	2,603.75	62.38	3,118.75	0.75	28.00	0.90
50	INTEL CORP	3,465.63	70.25	3,512.50	0.84	6.00	0.17
50	INTERNATIONAL BUSINESS MACHS CORP	3,417.50	104.63	5,231.25	1.25	40.00	0.76
50	LOCKHEED MARTIN CORP	4,232.50	98.50	4,925.00	1.18	80.00	1.62
25	MICROSOFT CORP	2,318.75	129.25	3,231.25	0.77	0.00	0.00
100	MOBIL CORP	6,531.67	72.19	7,218.80	1.73	212.00	2.94
100	MONSANTO CO	3,653.43	42.00	4,200.00	1.01	12.00	0.29
50	MORGAN J P & CO INC	4,994.17	112.88	5,643.75	1.35	190.00	3.37
150	SARA LEE CORP	6,108.75	56.31	8,446.95	2.02	138.00	1.63
20	SOLUTIA INC	341.57	26.69	533.76	0.13	0.20	0.04

SHARES PAR VALUE OR UNITS	DESCRIPTION	TAX COST	MARKET PRICE	MARKET VALUE	PERCENT MARKET	ESTIMATED ANNUAL INCOME	CURRENT YLD/YLD TO MAT
100	SUPERVALU INC 6/30/92***	2,895.00	41.88	4,187.50	1.00	104.00	2.48
150	TOYS "R" US INC	4,182.50	31.44	4,715.70	1.13	0.00	0.00
150	TRAVELERS GROUP INC	5,045.00	53.88	8,081.25	1.93	75.00	0.93
150	WAL MART STORES INC	4,220.00	39.44	5,915.70	1.42	40.50	0.68
TOTAL COMMON STOCK		114,445.73		148,193.76	35.47	2,811.70	1.90
COMMON & MUTUAL FUNDS - EQUITIES							
1,225.49	THE ONE GROUP GRWTH OPPORTUNITIES FD	20,000.00	19.44	23,823.53	5.70	0.00	0.00
9,259.23	THE ONE GROUP VALUE GROWTH FD	91,018.27	11.55	106,944.15	25.60	853.31	0.80
TOTAL COMMON & MUTUAL FUNDS - EQUITIES		111,018.27		130,767.68	31.30	853.31	0.65
TOTAL ACCOUNT		361,079.37		417,766.38	100.00	10,504.90	2.51

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MARGARET L SMITH 96 EXEMPT F JAMES DETAIL OF PENDING ASSETS AS OF 12/31/97 ACCOUNT NUMBER: 9572226310

PENDING TRADES: NONE

BANK ONE

RECEIVED

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HAND DELIVERED

(Office Use Only)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Jose E Serrano
(Full Name)

910 Grand Concourse
(Mailing Address)

Bronx NY 10451

Daytime Telephone (202) 225-4361

Filer Status	[X] Member of the U S House of Representatives	State NY District 16	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment		Termination Date	[ ] Termination

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [ ] No [X]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [X]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [ ] No [X]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11) — Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5/14/98

Name Jose E. Serrano | Page 2 of 4

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Ridgewood Homes	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source**	BLOCK B **Value of Asset**	BLOCK C **Type of Income**	BLOCK D **Amount of Income**	BLOCK E **Transaction**
Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see instructions, pages 14-20	at close of reporting year. If you use a valuation method other than fair market value please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block.	For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC *Examples* SP Mega Corp. Stock JT 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
NYS Employees Retirement System		NA		NA

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SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information: see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Member, Board of Directors	Manhattan College

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 15 AM 10:42

HAND DELIVERED

(Office Use Only)

PETER ANDERSON SESSIONS
(Full Name)
P.O. BOX 140970 DALLAS, TEXAS 75214.0970
(Mailing Address)
214.874.0225
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State TEXAS District 5	[ ] Officer or Employee — Employing Office	A *$200 penalty* shall be assessed against anyone who files more than 30 days late.
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [X]	No [ ]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: [signature]

DATE (Month/Day/Year): 5.15.98

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Name	Page	of
PETE SESSIONS	1	7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	SOUTHWESTERN Bell MOBILE Systems	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name PETE SESSIONS Page 2 of 3

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Examples			A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	E P S
SP		SP	Mega Corp Stock					X								X																	P
DC			Simon & Schuster		Indefinite																	Royalties									X		
JT			1st Bank of Paducah KY accounts						X									X										X					
SP	Southwestern Bell Corp (SBC)									X						X													X				
	SBC						X									X									X								
JT	DallasTelco Credit Union				X											X								X									
JT	American Century - Select Fund					X										X			X						X								
	American Century IRA Select					X										X			X						X								
	IRA Ft. Sam Houston Bank						X											X								X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PETE SESSIONS

Page 3 ?

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	IRA - Ft. Sam Houston Bank				X											X								X							
JT	OPPENHEIMER VALUE STOCKS FUND A			X										X			X						X								
	DALLAS TELCO CREDIT UNION		X											X								X									
JT	EXXON CORP				X									X									X								
JT	NUVEEN MUNICIPAL BOND A & K				X									X			X						X								
DC	SERVICEMASTER			X										X								X									
	LINCOLN LIFE GROWTH & INC FUND			X										X									X								
	US TREASURY SECURITY IRA						X									X															
	AG EDWARDS CENTENNIAL MONEY MARKET TRUST			X												X						X									
JT	BRAZORIA TAX EXEMPT BONDS			X												X							X								
	AMERITECH			X										X									X								
SP	AMERITECH			X										X									X								
JT	DREYFUS INTERMEDIATE MUNI BOND FUND			X										X			X					X									
JT	USAA TAX EXEMPT LONG TERM FUND			X												X	X					X									
JT	USAA MONEY MARKET FUND		X													X						X									
DC	US WEST COMMUNICATIONS			X										X									X								
DC	US WEST MEDIA			X										X								X									
DC	AIRTOUCH			X										X									X								
JT	Property in Hunt, TX			X											LESS THAN 2 ACRES						X										
	BELL SOUTH			X										X								X									
SP	BELL SOUTH			X										X								X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PETE SESSIONS

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
DC	BELL SOUTH	C $1,001 – $15,000	DIVIDENDS	II $1 – $200	P, S, E
DC	BELL SOUTH	C $1,001 – $15,000	DIVIDENDS	II $1 – $200	P, S, E
JT	LUCENT Technologies	C $1,001 – $15,000	DIVIDENDS	II $1 – $200	P, S, E
DC	Southwestern Bell (SBC)	C $1,001 – $15,000	DIVIDENDS	III $201 – $1,000	P, S, E
	SERVICEMASTER	C $1,001 – $15,000	DIVIDENDS	II $1 – $200	P, S, E
	US SAVINGS Bonds	C $1,001 – $15,000	INTEREST	II $1 – $200	P, S, E
DC	US SAVINGS Bonds	C $1,001 – $15,000	INTEREST	II $1 – $200	P, S, E
	Pfizer - IRA	F $250,001 – $500,000	DIVIDENDS	IV $2,501 – $5,000	P, S, E
DC	EXXON	C $1,001 – $15,000	DIVIDENDS	III $201 – $1,000	P, S, E
JT	Lucent	C $1,001 – $15,000	DIVIDENDS	II $1 – $200	P, S, E
DC	Lucent	C $1,001 – $15,000	DIVIDENDS	II $1 – $200	P, S, E
DC	USAA Tax Free - long Term	D $15,001 – $50,000	INTEREST	II $1 – $200	P, S, E
	BELL ATLANTIC	C $1,001 – $15,000	DIVIDENDS	II $1 – $200	P, S, E
SP	SBC STOCK OPTION	A None	CAPITAL GAINS	VII $15,001 – $50,000	P, S, E
SP	SBC STOCK Option	A None	CAPITAL GAINS	VII $15,001 – $50,000	P, S, E

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SCHEDULE IV — TRANSACTIONS

Name: PETE SESSIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10 12 97		X								
	AT&T		X		6.2.97	X									
JT	AT&T		X		6.2.97	X									
DC	AT&T		X		6.2.97	X									
	HARTMARX		X		3.31.97	X									
JT	Dreyfus International Muni Bond Funds	X	X		Multiple Transactions	X									
DC	EXXON	X			6.5.97	X									
DC	USAA Tax-Free Long Term Fund	X			3.14.97		X								
DC	EXXON	X			9.25.97	X									
SP	Southwestern Bell Stock Options		X		2.7.97		X								
SP	Southwestern Bell Stock Options		X		6.17.97		X								
JT	Lucent Stock From Stock/Company Split AT&T			X		X									
DC	Lucent Stock From Stock/Company Split/AT&T					X									

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
Board Member	EAST DALLAS YMCA Board of MANAGEMENT

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (inac)

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	U.S.-Mex. Chamber of Commerce	Mar. 6-8	Dallas - Mex. City - Dallas	Y	Y	N	N
	U.S.-Mex. Chamber of Commerce	Aug. 13-15	Dallas - Mex. City - Monterrey, Mex	Y	Y	N	N
	Project Interchange	Aug. 16-24	Dallas - Israel - Dallas - Dallas	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
98 MAY 15 PM 5:28

John Barden Shadegg
(Full Name)

430 CHOB, Washington, D.C. 20515
(Mailing Address)

(202) 225-3361
(Daytime Telephone)

HAND DELIVERED
(Office Use Only)

5

Filer Status: [XX] Member of the U.S. House of Representatives — State: AZ, District: 4 — [ ] Officer or Employee — Employing Office

Report Type: [XX] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have earned income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive unearned income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If yes, complete and attach Schedule IV.	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding Qualified Blind Trusts approved by the Committee on Standards of Official Conduct and certain other excepted trusts need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, unearned income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: [signature]

DATE (Month/Day/Year): 5/14/98

3746

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C. XYZ Magazine	Speech Article	Feb. 2, 1997 Aug. 13, 1997	$2,000 $500
Manufacturers Alliance	Speech	March 7, 1997	$750

This page may be copied if more space is required.

Name John B. Shadegg | Page 3 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of an income which generated more than $200 of unearned income during the year. For real property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is self-directed, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude Your personal residence(s) Unless there is rental income, any debt owed to you by your spouse or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any bona fide interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is either of your spouse (SP) or dependent child (DC) or jointly held (JT) in the optional column on the far left.

SP/DC/JT	Asset and/or Income Source
SP	SP1 Megan Shadegg *
DC	Examples: Sarnie & Schuster
JT	1st Bank of Paducah KY accounts
JT	AZ State Retirement PO Box 33910, Phx, AZ
	State St. Bank - Guardian Park Ave Portfolio - IRA
	State St. Bank - Phoenix Fund - IRA
	Prudential Securities Command Account
	One-Fourth interest in family summer hm, 925 Blue Jay, Prescott
	Personal Injury Settlement

BLOCK B — Value of Asset (at close of reporting year. If you use a valuation method other than fair market value please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None")

Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000
Examples			Indefinite		X							
1st Bank of Paducah KY accounts						X						
AZ State Retirement					X							
Park Ave Portfolio - IRA				X								
Phoenix Fund - IRA			X									
Prudential Securities			X									
One-Fourth interest in family summer hm, 925 Blue Jay, Prescott				X								
Personal Injury Settlement												

BLOCK C — Type of Income

Asset	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example Partnership Income or Farm Income)
Examples	X						Royalties
1st Bank of Paducah KY accounts			X				
AZ State Retirement			X				
Park Ave Portfolio - IRA	X						
Phoenix Fund - IRA	X						
Prudential Securities			X				
One-Fourth interest in family summer hm, 925 Blue Jay, Prescott		X					
Personal Injury Settlement			settlement				

BLOCK D — Amount of Income (For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income)

Asset	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000
Examples				X					X		
1st Bank of Paducah KY accounts						X					
AZ State Retirement	n/a										
Park Ave Portfolio - IRA	n/a										
Phoenix Fund - IRA	n/a										
Prudential Securities					X						
One-Fourth interest in family summer hm, 925 Blue Jay, Prescott				X							
Personal Injury Settlement	n/a										

BLOCK E — Transaction (Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year)

Asset	Transaction
Examples	P
1st Bank of Paducah KY accounts	P, S, E
AZ State Retirement	
Park Ave Portfolio - IRA	
Phoenix Fund - IRA	
Prudential Securities	
One-Fourth interest in family summer hm, 925 Blue Jay, Prescott	
Personal Injury Settlement	

For additional assets and unearned income, use next page

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	American Israel Education Foundation	Jan 9-17	Wash., D.C. - Israel - Wash., D.C.	Y	Y	Y	N
	GOPAC	Apr. 5-10.	Phx., AZ - Wash., D.C.- Phx., AZ	Y	Y	Y	N
	GOPAC	June 13	Wash., D.C. - Kansas Phx., AZ	N	Y	N	N
	GOPAC	Nov. 2-4	Phx., AZ - Wisconsin - Wash., D.C.	Y	Y	N	N
	GOPAC	Nov. 8-11	Phx., AZ - Wash., D.C.- Phx., AZ	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, pages 25–26

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Arizona Economic Forum
Board of Directors	Arizona State University Law Society
Board of Directors	Arizona Demolay Foundation
Board of Directors	Goldwater Institute for Public Policy
Board of Directors	Salvation Army

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer For further information, see Instructions, page 26.

Date	Parties To	Terms of Agreement

GPO 1996 22 642 (mar)

Use additional sheets if more space is required.

JOHN SHADEGG
4TH DISTRICT, ARIZONA
REPUBLICAN POLICY COMMITTEE
SOPHOMORE CLASS REPRESENTATIVE

ASSISTANT WHIP

WASHINGTON, D.C. OFFICE:
430 CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-3361
FAX (202) 225-3462

DISTRICT OFFICE
301 EAST BETHANY HOME ROAD
SUITE C178
PHOENIX, AZ 85012
(602) 263-5300
FAX (602) 248-7733
e-mail: jshadegg@mail.house.gov

HAND DELIVERED

COMMITTEES
BUDGET

RESOURCES
SUBCOMMITTEES
WATER AND POWER RESOURCES
NATIONAL PARKS AND PUBLIC LANDS

GOVERNMENT REFORM AND OVERSIGHT
SUBCOMMITTEES
NATIONAL ECONOMIC GROWTH, NATURAL RESOURCES AND REGULATORY AFFAIRS
NATIONAL SECURITY, INTERNATIONAL AFFAIRS AND CRIMINAL JUSTICE

Congress of the United States
House of Representatives
Washington, DC 20515–0304

March 4, 1998

Clerk of the House
U.S. House of Representative
Legislative Resource Center
B106 Cannon HOB
Washington, DC 20515

Re: Amendment to Financial Disclosure

This is to inform you that I have been informed of an omission on my Financial Disclosure form. It has been brought to my attention that I am an honorary board member on the Arizona Economic Forum and have been since December 21, 1995.

Please amend my 1995 and 1996 Financial Disclosure form to include the Arizona Economic Forum.

Thank you for your assistance.

Sincerely,

John Shadegg
Member of Congress

JS/pjc

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CLERK

JOHN SHADEGG
4TH DISTRICT ARIZONA
REPUBLICAN POLICY COMMITTEE
SOPHOMORE CLASS REPRESENTATIVE

ASSISTANT WHIP

WASHINGTON, D.C. OFFICE
430 CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-3361
FAX (202) 225-3462

DISTRICT OFFICE
301 EAST BETHANY HOME ROAD
SUITE C178
PHOENIX, AZ 85012
(602) 263-5300
FAX (602) 248-7733
e-mail: shadegg@mail.house.gov

98 JUN 10 PM 12:29

HAND DELIVERED

Congress of the United States
House of Representatives
Washington, DC 20515-0304

COMMITTEES
BUDGET

RESOURCES
SUBCOMMITTEES
WATER AND POWER RESOURCES
NATIONAL PARKS AND PUBLIC LANDS

GOVERNMENT REFORM AND OVERSIGHT
SUBCOMMITTEES
NATIONAL ECONOMIC GROWTH, NATURAL RESOURCES AND REGULATORY AFFAIRS
NATIONAL SECURITY, INTERNATIONAL AFFAIRS AND CRIMINAL JUSTICE

(2)

June 9, 1998

The Honorable Robin H. Carle
Clerk of the House of Representatives
B-106 Cannon House Office Building
Washington, D.C. 20515

MC

Dear Ms. Carle:

Please substitute the attached Schedule III form for the original Schedule III form which was filed on May 15, 1998.

Sincerely

John Shadegg

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP / DC / JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P S E
SP	Mega Corp. Stock					X								X																		P
DC	Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
JT	AZ State Retirement P.O. Box 33910, Phx, AZ					X										X					n/a											
	State St. Bank - Guardian Park Ave Portfolio - IRA				X									X							n/a											
	State St. Bank - Phoenix Fund - IRA			X										X							n/a											
	Prudential Securities Command Account			X												X									X							
	One-Fourth interest in family summer hm, 925 Blue Jay, Prescott				X										X									X								
	Personal Injury Settlement													settlement													X					

For additional assets and unearned income, use next page

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N1 (Office Use Only)

3754

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Christopher Shays
(Full Name)

1 Spring Hill East Lane
(Mailing Address)

202/225-5541
Daytime Telephone

Stamford, Connecticut

Filer Status	[X] Member of the U.S. House of Representatives	State District	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL Christopher Shays

DATE (Month/Day/Year) 5/12/98

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	New Canaan Board of Education	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II

Name Christopher Shays

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	Block D: None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	Block E: Transaction (P, S, E)
SP	Mega Corp Stock						X							X										X								P
DC	*Examples* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts							X								X										X						
DC	First County Bank, Stamford				X											X							X									
SP	Stamford Teachers Federal Credit Union				X											X							X									
	Connecticut State Employees Retirement System				X											NA							X									NA
SP	Connecticut State Employees Retirement System					X										NA							X									NA
JT	Astoria Federal (Mortgage escrow)				X											X						X										

For additional assets and unearned income, use next page.

Name	Christopher Shays	Page 4 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	Mrs. Virginia Skarie, Towson, Maryland	Personal Loan		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	The Aspen Institute	Feb 14-22	NYC -- Miami -- NYC	Y	Y	Y	5 Days
	The Aspen Institute	Mar 7-9	Wash,DC--Hershey,PA--NYC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Brad Sherman
(Full Name)

1524 Longworth HOB, Washington DC 20515
(Mailing Address)

(202) 225-5911
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State CA District 24	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Brad Sherman

DATE (Month/Day/Year): May 13, 1998

3759

Name	Brad Sherman	Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1 000
	Ontario County Board of Education	Spouse Salary	NA
	State of California (Board of Equalization), Sacramento	salary	$490.00
	U.S. Congress	salary	$121,724.38

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Brad Sherman

Page 3 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	BLOCK D Amount of Income: I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	BLOCK E Transaction: P, S, E
	Dreyfus CA Intermediate Muni Bond Fund				X								X							X								P/S
	Dreyfus CA Tax Exempt Bond Fund (Address for Dreyfus Fund is Box 9387, Providence, RI 02940)		X										X							X								P/S
	As to these 3 assets, address is: David Could, Treasurer 555 S. Flower St., #4510 Los Angeles, CA 90071 Assets are reported at face principal amount, excluding accrued but unpaid interest and not reflecting any allowance for doubtful collection. Fair market value of these promisory notes is uncertain. There are 3 assets to which this note applies:																											
	1) notes payable by "Sherman For Congress"							X											X									
	2) notes payable by "Friends of Brad Sherman"					X													X									
	3) notes payable by Sherman 1994 State Committee (formerly "Sherman for Controller")				X														X									
	Assets of CPA practice including office equipment		X																X									

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Name

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock		X	X	P
SP	Simon & Schuster	Indefinite		Royalties	
SP	1st Bank of Paducah, KY accounts	X	X	X	
	Robert Drouet	X		Royalties X	
	HAMBERT	X		Royalties X	
	(Note: In 1996 the above two assets were not required to be reported because each had a value under $1000 and produced income under $200)				

For additional assets and unearned income, use next page.

Name Brad Sherman

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

For further information, see Instructions, page 14–20.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

If other than one of the listed categories, specify the type of income by writing a brief description in this block

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source		A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	Transaction (P, S, E)
SP, DC, JT	*Examples*	SP	Mega Corp. Stock			X								X						X									P
			123 Main St., Dover, Del.						X						X										X				
			1st Bank of Paducah, KY accounts				X									X						X							
	Bank of California (Los Angeles, CA)			X												X				X									
	Bank of America (Santa Monica, CA)			X												X				X									
	American Pacific State Bank IRA					X										X				N/A									

Union

For additional assets and unearned income, use next page.

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Name Brad Sherman

Page 6 of 7

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20–21			Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example*	Mega Corporation Common Stock	X			10-12-96		X								
	Pursuant to my conversation with the staff legal counsel of the House Committee on Standards of Official Conduct, the following are not disclosed on this Schedule (though they are reflected on Schedule III): (i) partial loan repayments received from political committees, (ii) loan I made to political committees, and (iii) deposits to and checks written on checking accounts, money market accounts and mutual funds, (iv) contributions to and roll-overs of IRAs. The IRAs were bank certificates of deposit and did not involve individual stocks.															

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Project Interchange/American Jewish Committee	Aug. 16-Aug. 24,	Wash. DC - New York - Tel Aviv - New York - Los Angeles	Y	Y	N	N
	Note: Over 10 hours each day was devoted to meetings with governmental leaders and experts on the peace process.						

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

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HAND DELIVERED

(Office Use Only)

20

John Mondy Shimkus
(Full Name)

504 Sumner Boulevard
(Mailing Address)

Daytime Telephone
202/225-5271

Collinsville IL 62234

Filer Status				
	[X] Member of the U.S. House of Representatives	State IL District 20	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1 000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report, may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) May 15, 1998

3766

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse-earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	County of Madison, Edwardsville, IL	Salary	$1,671.72
	State of Illinois	Stipend	$2,526.90

For payments to charity in lieu of honoraria, use Schedule II

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None"	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP, DC, JT *Examples* SP	Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
JT	116 Kenwood, Collinsville, IL	$15,001 - $50,000	Rent	$5,001 - $15,000	
JT	440 Spring, Collinsville, IL	$15,001 - $50,000	Rent	$2,501 - $5,000	
JT	IRA Fidelity Destiny Plan	$15,001 - $50,000	Capital Gains and Dividends	$2,501 - $5,000	
JT	Franklin Income Fund	$1,001 - $15,000	Capital Gains and Dividends	$2,501 - $5,000	
DC	Putnam Health Sciences Trust	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	
JT	Lutheran Brotherhood Money Market Fund	$1,001 - $15,000	Dividends	$1 - $200	
JT	Putnam Investors Fund-CLSA	$15,001 - $50,000	Capital Gains and Dividends	$1,001 - $2,500	

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

IT	20th Century Growth Inv (Deferred Comp Plan)	$15,001 - $50,000	Capital Gains and Dividends	$1,001 - $2,500	
DC	Lutheran Church Extension Fund	$1,001 - $15,000	Interest	$1 - $200	

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.	$100,001 - $250,000
JT	Collinsville Bldg & Loan Assoc., Collinsville, IL	Mortgage on 116 Kenwood, Collinsville, IL	$15,001 - $50,000
JT	Collinsville Bldg & Loan Assoc., Collinsville, IL	Mortgage on 440 Spring, Collinsville, IL	$10,001 - $15,000
JT	General Motors Acceptance Corp., St. Louis, MO	Car Loan	$15,001 - $50,000

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SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. **Exclude:** Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Aspen Institute	March 7-9, 1997	Wash., D.C.-Hershey, PA-Wash., D.C.	Y	Y	Y	N
Olin Foundation--lodging for Army Reserves Duty	November 29 - December 5, 1997	Collinsville, IL - West Point, NY - Collinsville, IL	Y	N	N	N

Gifts Received by Congressman Shimkus—1997
All of Nominal Value

January 4	Flowers Lithuanian American Republican League, Chicago, IL
	Flowers Bob Radmacher—Springfield, IL
	Flowers State Senator Frank Watson, Greenville, IL
January 6	Book—Miracles in Our Midst Richard Scott, Columbia/HCA Healthcare Corporation
January 10	Book—Dolley's Detectives Kristi DeLano, Archway Paperbacks
	Desk Diary/Calendar Gary Knecht, Ducks Unlimited
January 20	Book—Finding Our Roots, Facing Our Future Glenn R. Popson, Madison Books
January 21	Book—Margin Bill Fairback, Christian Embassy
January 27	Book—Profiles in Character David M. Mason, The Heritage Foundation
February 10	Book—Get America Singing Senators Barbara Boxer and Orrin Hatch
February 18	Video—The Congress David J. Brugger, America's Public TV Stations
February 19	LincolnLandopoly Franklin Life Insurance Company, Springfield, IL
February 20	Sweatshirt Ron Sorini—Fruit of the Loom
February 26	Book—Living History S. Daniel Abraham, Center for MidEast Peace

Congressman John Shimkus Gift List—1997
May 15, 1998
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	Book—The Challenge to Government Herbert Robinson
February 27	Calendar Harold Olson, Edge—Buy Express
	Book—Public Dollars Common Sense William Phillips, Coopers & Lybrand
March 3	Book—Inside a US Embassy Tex Harris, American Foreign Service Association
	Cap and Lapel Pin Migratory Waterfowl Hunters
	Framed Print—Cahokia Mounds Don Koonce, ABC Printing, Collinsville, IL
	Flowers Jerry Sewell—Alton, IL
	Datebook Madison County Farm Bureau, Edwardsville, IL
March 4	Wine Glass Ellen Schned, Viacom
March 5	Book—The Great Controversy Melvin Horn
	Pamphlet—Holding Children in Prayer Marian Wright Edelman, Children's Defense Fund
March 11	6 Bottles of Country Bob's All-Purpose Sauce Country Bob—Centralia, IL
	Book—The Irish Almanac and Facts Book 1997 Colm McKenna, DuFour Editions

	Book—Every Child An Achiever Matthew Lupsha, Kumon USA
March 12	Book—A New Tax on Wealth James Miles
March 13	Sugar Flo-Sun Sugar Company
March 15	Cap Rich Lutrell, Rochester, IL
March 17	Book—The Big Lie Haeworth Robinson, Retirement Policy Institute
March 19	Poster—American Autos Philip Hutchinson, Assoc. of International Auto Manufacturers
March 20	Video and Tape—Street Soldier Joseph Marshall, Jr.—AABI Media
March 22	Plaque—National Wild Turkey Jersey, Greene and Calhoun Counties Chapter of National Wild Turkey Federation
March 24	Book—Social Security in the 21st Century Horace Deeds, American Association of Retired Persons
March 25	T-shirt—Cherry Blossom Festival Greg Farmer, NORTEL
March 26	Shirt (one for Mrs. Shimkus also) Professor Carver, SIUE School for Business
	Plaque—Fayette Water Company Groundbreaking Ceremony Phase 1 Fayette Water Company, Vandalia, IL

Congressman John Shimkus Gift List 1997
May 15, 1998
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March 27	Book—State of the World R.E. Turner, Turner Foundation
	Book—The United Nations at 50 N. Lee Cooper, American Bar Association
April 1	Picture—Springfield Mass Transit District Springfield Mass Transit District, Springfield, IL
	Hard-hat—Springfield Mass Transit District Springfield Mass Transit District, Springfield, IL
	VFW Pin and Necklace VFW of Illinois
April 3	Calendar—Green Thumb Ruth Sheets, Green Thumb, Mt. Vernon, IL
April 7	AAMA Congressional Handbook Andrew Card, American Auto Manufacturers Association
	Blanket—This is Horse Country Roger Bailey—Mount Vernon, IL
April 8	Video—A Question of Sovereignty Daniel Tucker, CA/Nevada Gaming Association
April 10	Book—Patterns of Corporate Philanthropy Congressman John Linder
April 15	Directory of 105th Congress Association of International Auto Manufacturers
	Book—Chromosome 6 Senator Orrin Hatch
April 18	Baseball Cap Migratory Waterfowl hunters, Inc.

Congressman John Shimkus Gift List 1997
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	Baseball Cap KTRS 5.50 AM Radio, St. Louis, MO
	Baseball Cap Local 520 International Union of Operating Engineers
	Baseball Cap Chicago Board of Options Exchange
April 19	Baseball Cap Laclede Steel of Vandalia, IL
April 21	Book—Christ and the Dragon Maurice Hope, Revelation Ministry
April 22	105th Congressional Directory Richard Lawson, National Mining Association
April 28	Book—Relief for Hurting Parents Buddy Scott
April 29	Book—Work Force 2020 Congressman David McIntosh
	Flowers Wanda Weder, Highland Supply Company, Highland, IL
April 30	Video—The Money That Makes America Work Mark Barbash, National Association of Development Companies
May 4	Plaque Military Order of the Purple Heart, IL Dept. of Veterans Affairs
	Commemorative License Plate ABATE-FEDPAC, Galesburg, IL
May 5	1997 Illinois Legislative Roster Association of Illinois Electric Cooperatives

Congressman John Shimkus Gift List 1997
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May 6	Hard-hat Madison County Transit, Edwardsville, IL
	Coffee mug, T-shirt, Totebag Lewis & Clark Library Systems, Edwardsville, IL
May 8	Book—America, Who Stole the Dream? Chuck Fisher, Collinsville, IL
	3 Framed Copies of Ruth Sievers Poem Walt and Ruth Sievers, Staunton, IL
May 13	VFW's Guide for Service Officers Kenneth Steadman, VFW of the US
	Congressional Directory—105th Congress Bristol-Meyers Squibb Company
	Picture—1996 Bucket Brigade Team Dale Neudecker, Pride Illinois, Alton, IL
May 16	Congressional Directory Consumer Electric's Manufacturers Association
May 19	Books—Bed and Champagne and Dining by Candlelight Cynthia Clark
	Sweatshirt and Cap Lincoln Junior High, Lincoln, IL
May 20	Book—Muslims in America Javeed Akhter, ISPI
May 22	Book—Our Changing Planet Robert Corell, National Science Foundation
May 23	Book—Washington's Wild Rivers Marcia Hansen, The Mountaineers

	Sleeve of golf balls (3) Mike Ellerman, Washington County Hospital, Nashville, IL
May 27	105th Legislative Directory Interstate Natural Gas Association of America
	Pennant Taylorville High School, Taylorville, IL
May 29	Book—a Nation of Millionaires Joseph Bast, The Heartland Institute
May 30	Book—Definitive Guide to Cancer Hon. Berkley Bedell
	Video—US Merchant Marine Academy Robert Safarik, US Department of Transportation
June 2	T-shirt, Hand Grip and Tin The Steel Alliance, Mark Stephenson
	Plaque IL Dept. of Veterans Affairs
June 3	Sweet Potatoes North Carolina Sweet Potatoes
	US Olympic Committee Factbook 97-98 US Olympic Committee
June 4	Hat, Shirt, Coffee Holder and Pins NFIB
	Book—Made in the USA Joel Joseph, Made in the USA Foundation
June 5	105th Congressional Directory The Beer Institute

Congressman John Shimkus Gift List 1997
May 15, 1998
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June 9	Video—Great American Speeches Pieri & Spring Productions
	Books—Eternal Human Existence, Man Beyond the Purgatory and Bible Dictionary Drue Flowers
June 10	Book—Ecoterror: The Violent Agenda to Save Nature Ron Arnold, author
June 18	Book—America and the Founding of Israel Rev. John W. Marshall
June 19	Book—English: The Global Language Mauro Mujica, US English Foundation
	Book—The Hong Kong Advantage Sir Roger Lobo, Vision Foundation
	Book—Inviting Disaster Robert Chandler, Strategic Planning Institute
June 21	Plaque AMVETS, Springfield, IL
June 23	Baseball James Malling, AFGI
June 24	T-shirt Norel Pride and Elizabeth Perkins, Collinsville, IL
June 25	Book—Our America Simon & Schuster Consumer Corporation
June 29	Certificate of Appreciation US Chamber of Commerce
July 3	Book—Dig Your Well Before… Arlene Friedman, Doubleday & Co.

Congressman John Shimkus Gift List 1997
May 15, 1998
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July 8	Book—Strategies for US Relations with China The Heritage Foundation
	Book—Jerusalem: An Occupation Set in Stone? North American Coordinating Co.
	Book—Chicago Days Shaun Sheehan, Tribune Company
July 9	2 PJ Huggable stuffed bears for David and Joshua Shimkus Anna Hui Tsai, Governor Edgar's Office
July 10	Book—Polluted Science AEI
July 16	Cap Illinois State Rifle Association, Chatsworth, IL
July 25	Book—Jesus, Who Is He? Tim LaHaye, Family Life Seminars
August 4	Shirt, Tote Bag, Remote Control Next Level Systems, Inc.
August 10	Shirt and Cap IL Dept. of Veterans Affairs
	Cap Illinois Fire Services, Godfrey, IL
	Cap Illinois Corn Growers Association
August 12	3 Coal Plaques and 1 Cap Monterey Coal Company, Macoupin County, IL
August 13	Lifesaver Award and Certificate The Coalition to Save Medicare

Congressman John Shimkus Gift List—1997
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August 15	T-shirt and Pen Coca-Cola Bottling Company, Springfield, IL
	Shirt, Letter Opener, 4 season Tickets to Soccer Games UI-Springfield, IL
August 16	Hat and Shirt Cynamid Corporation, Bonnie, IL
August 25	Book—Jefferson's Bible Dr. Judd W. Patton, Bellevue University
	Book—Five Lies of the Century David T. Moore, Southwest Community Church
	Book—Friends of Art and Preservation in Embassies Jo Carole Lauder
August 28	Book—Treasure Box Lorenz Church Music Publishers Association
September 9	Book—Shaping Our Future Together IOF Forseters
	CD—Just Another Day Fred Clark
September 11	2 coasters ORSANCO
September 16	Paperweight, 2 golf ball sets Charter Communications
	2 Tickets—Cedarhurst Chamber Music Mitchell Museum, Cedarhurst, Mt. Vernon, IL
September 18	Puzzle Cube Charter Communication Services, Maryville, IL

Congressman John Shimkus Gift List—1997
May 15, 1998
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September 23	CD—Just Another Day Fred Clark
September 28	2 Coffee Cups Lincoln Home, Springfield, IL
September 29	King James Holy bible Grace Baptist Academy, Springfield, IL
October 1	Paperweight—Coal on a Wooden Base Monterey #1 Mine, Macoupin County, IL
	Piece of Coal Monterey #1 Mine, Macoupin County, IL
October 6	T-shirt Citizens for a Sound Economy
October 10	Coffee Cup Two Rivers, Quincy, IL
October 14	Book—The Progress Freedom Foundation Jeffrey Eisenbach
October 15	Photo with the Liberty Bee Times Holly Rich, Quincy, IL
October 16	Baseball Cap Steamboatin Delta Queen, Grafton, IL
October 20	Books Harry Singer Foundation Essay Contests
	CD—Freedom's Light Senator Orrin Hatch
October 21	Stress Ball NORTEL

Congressman John Shimkus Gift List—1997
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October 21 cont.	Books—Air and space Power in the Millennium Center for Strategic & International Studies
October 24	CD—Army Experiment 4 Department of the Army
	Book—Rediscovering America Congressman Vernon Ehlers
October 25	Book—An Expression of Vision Principia College, Elsah, IL
October 31	Book—Chamber of Commerce Membership Directory American Chamber of Commerce, Beijing, China
November 2	Publications—Extremist Use of the Internet Anti-Defamation League
November 4	Book—Mind Control Within the US Kai Bashir
	T-shirt and box Nissan, Martha's Table, Roll Call, Capital Style
	1998 Calendar John Corcoran, Norfolk Southern
November 5	Book—Vote Smart Web Yellow Pages Adelaide Elm, Project Vote Smart
November 6	Figurine—Patriotic Santa Jeff Murray
November 7	Video—I Am Your Child Shannon Salmon, Johnson & Johnson
	Calendar National Alliance of Postal and Federal Employees
November 8	Book—Payment System Integrity Michael Maat, American Bankers Association

	Book—Privacy in the Information The Brookings Institution
November 12	Mouse Pad Nissan
November 15	Framed Picture—40th Anniversary Commemorative Poster of SIUE David J. Werner, Chancellor, SIUE
November 19	Personal Lab Coat, Coffee Cup and T-shirt SIU School of Medicine, Springfield, IL
November 24	Calendar 1998 National Federation of Republican Women
	Calendar 1998 RAND
November 26	Coffee Cup Kiwanis Club, Springfield, IL
December 4	Christmas Ornament Speaker and Mrs. Gingrich
	Book—The Franklin Cover-Up Donald Launhardt
December 8	CD National Association of Broadcasters
	Calendar Telephone Credit Union
December 10	1998 Day Timer Stephen and Rose Chen, Taipei Economic and Cultural Representatives Office

Congressman John Shimkus Gift List 1997
May 15, 1998
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December 11	Calendar 1998 Army Society of Civil Engineers
December 15	Calendar 1998 Northwest Forestry Association
December 16	Ornament Can Manufacturers Institute
	Calendar 1998 The Children's Aid Society
December 18	Cap Kincaid High School, Kincaid, IL
December 22	Christmas Ornament Lee Daniels, Elmhurst, IL
December 25	1 Ticket—Admits 2 people Museums in the Park, Chicago, IL

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
98 MAY 14 PM 3:02

BUD SHUSTER
(Full Name)

Box 234 C RD 3
Everett, Pa. 15537
(Mailing Address)

Daytime Telephone
202-225-2431

HL (Office Use Only) (8)

Filer Status	[X] Member of the U.S. House of Representatives	State Pa. District 9	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[ ]	[X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance or article in the reporting period? **If yes, complete and attach Schedule II.**	[X]	[ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	[X]	[ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[X]	[ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[ ]	[X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Bud Shuster

DATE (Month/Day/Year): 5/15/98

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Name	Page 2 of 8
BUD SHUSTER	

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package

Source	Activity	Date	Amount
Examples Association of American Associations, Wash , D C XYZ Magazine	Speech Article	Feb 2, 1997 Aug 13, 1997	$2,000 $500
Council of Insurance Agents and Brokers	Speech	Feb 4, 1997	$2,000

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

SP, DC, JT	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	E $15,001 – $50,000	F $50,001 – $100,000	G $100,001 – $250,000	H $250,001 – $500,000	I $500,001 – $1,000,000	J $1,000,001 – $5,000,000	K $5,000,001 – $25,000,000	L $25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify For Example Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction
SP	Examples: Mega Corp Stock					X								X										X								P, S, E
DC	Examples: Simon & Schuster			Indefinite																Royalties												
JT	Examples: 1st Bank of Paducah, KY accounts						X									X										X			X			P
jt	Shuster Farms, Everett, Pa							X							farm income											X						
jt	Government bonds & Certificates							X								X											X					P, S
s	Hercules Tire&Rubber Co.			X												X										X						
jt	Townhouse, Fairlington Arlington, Va.						X														X											
jt	Telos Corp -416 shares			X																	X											
jt	Cong. Credit Union			X										X								X										

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name BUD SHUSTER

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	jt Paine Webber Money Fund				X									X										X								P

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SCHEDULE IV — TRANSACTIONS

Name: BUD SHUSTER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
jt	Paine Webber Money Funds	X			1-1-97 -- 12-31-97		X								
s	Paine Webber Bond		X		11-25-97	X									
s	Paine Webber Bond		X		12-5-97			X							
jt	U.S. Gov. Bond	X			10-28-97			X							
jt	U.S. Gov. Bond		X		11-14-97			X							

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
jt	Midstate Bank, Altoona, Pa.	line of credit		x								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Outdoor Advertizing Assn of America	Oct 25	Wash DC to Bedford	N	N	N	N
	Union Pacific Railroad	Apr 28	Wash DC- Omaha - Wash DC	N	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
Owner	Shuster Farms

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 1998 46-260 (mac)

Use additional sheets if more space is required.

PRELIMINARY — Confidential

98 JUN -3 PM 2:59

CLERK, U.S. HOUSE OF REPRESENTATIVES

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HAND DELIVERED
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

(Full Name) Norman Sisisky

(Mailing Address) Post Office Box 1850
Petersburg, Virginia 23805-1850

Daytime Telephone (202) 225-6365

Filer Status	[X] Member of the U.S. House of Representatives	State Virginia District 4	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [ ] No [X]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [X] No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL Norman Sisisky

DATE (Month/Day/Year) Jun 3, ~~May~~, 1998

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NAME Norman Sisisky

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1 000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1 000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U S Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	A None	B $1 – $1,000	C $1 001 – $15 000	$15 001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250 001 – $500 000	H $500 001 – $1,000 000	I $1 000,001 – $5,000 000	J $5,000, 001 – $25 000 000	K $25 000 001 – $50 000 000	L Over $50,000 000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify For Example Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1 000	IV $1,001 – $2 500	V $2 501 – $5 000	VI $5 001 – $15,000	VII $15 001 – $50 000	VIII $50 001 – $100 000	IX $100 001 – $1 000 000	X $1 000 001 – $5 000 000	XI Over $5 000 000	Transaction P, S, E
SP (Examples)	SP Mega Corp Stock					X								X										X								P
DC (Examples)	Simon & Schuster		Indefinite																	Royalties									X			
JT (Examples)	1st Bank of Paducah KY accounts						X									X										X						
	See attached continuation sheets.																															

For additional assets and unearned income, use next page

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
	Each asset listed on Schedule III continuation Sheets is common stock unless otherwise indicated.	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000*	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	Auto Data Processing Inc									X				X											X							P,S
																	X										X					
	Autozone								X								X							X								P,S
	CUC Intl Inc	X															X								X							P,S
	Cendant Corp								X								X									X						S
	Cisco Sys Inc	X															X															P,S
	Coca-Cola Co								X					X											X							S
																	X											X				
	Walt Disney Co								X					X										X								P,S
																	X									X						
	Dollar General Corp								X					X										X								P,S
																	X											X				
	First Data Corp							X						X									X									P,S
																	X								X							
	General Elec Co								X					X											X							P,S
																	X									X						
	Gillette Co								X					X											X							P,S
																	X												X			
	Intel Corp								X					X										X								P,S
																	X											X				
	Johnson & Johnson								X					X											X							P,S
																								X								
	Lilly Eli & Co	X												X									X									P,S
	Mattel Inc	X												X									X									S

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	McDonalds Corp						X							X											X					X		P,S
	Merck & Co Inc								X					X												X							P
	Microsoft Corp					X											X													X			P,S
	Monsanto Co	X												X			X							X		X							P,S,E
	Pfizer Inc						X							X			X									X				X			P,S
	Solutia Inc	X															X							X									S,E
	Wal-Mart Stores Inc	X												X									X										
	Walgreen Co							X						X			X									X				X			P,S
	Rentokil Initial PLC Sponsored ADR							X						X			X									X		X					S
	Muni Fund-Temp Inv (Signet)								X							X										X							
	Signet Trust Company - Cash					X								X																			
	Abbott Labs							X						X			X									X							
	American Intl Grp Inc	X												X								X									X		S
	Central Fid Bks Inc	X												X											X								E
	Federal National Mtge Assoc							X						X											X								

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Linkon Corp - Units represented by common shares plus warrants expiring 8/11/2000					X																										
	McDonalds Corp						X							X			X						X				X					S
	Mobil Corp						X							X																		
	Schlumberger Ltd						X							X									X				X					
	United Dominion Realty Tr Inc						X							X												X						
	Wachovia Corp New						X										X					X										S,E
	Arlington Cnty VA Bd 5% 6/01/2012-07						X									X							X									P
	Blue Ridge Regl Jail Auth VA Bd 5.25% 12/01/2008-07						X																									P
	Purchased interest thereon		X																													P
	Chesapeake VA Hosp Auth Bd 7.5% 07/01/2008-98						X									X										X						
	Chesapeake Va Wtr & Swr Bd 4.85% 12/01/2005						X																									P
	Purchased interest thereon		X																													P
	Eastern Va Med Auth Gen Rev Bd 8.125% 05/15/2007	X														X									X							S
	Fairfax Cnty VA Imp Rev Bd 5.6% 05/01/2003-99						X									X										X						

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Fredericksburg Va Indl Dev Aut Hosp Facs Rev Rfdg Bd 5% 06/15/2007	X														X								X								
	Newport News VA Wtr Ser A Bd 5 8% 06/01/2004-02						X									X									X							
	Norfolk VA Wtr Rev Bd 5 6% 11/01/2011-05						X									X										X						
	Portsmouth VA Bd 5% 08/01/2010-06						X																									P
	Purchased interest thereon			X																												P
	Prince William Cnty VA Bd 5.5% 07/01/2005						X																									P
	Purchased interest thereon		X																													P
	Puerto Rico Commonwealth Hwy & Transn Auth Rev Rfdg Ser-V Bd 6 375% 07/01/2007-02						X									X										X						
	Richmond Va Ser A Bd 7.1% 1/15/2002	X														X										X						S
	Richmond VA Rfdg-Ser B-Pub Impt Ut Bd 6 25% 01/15/2018-01						X									X										X						
	Roanoke VA Rfdg & Pub Bd 6 4% 08/01/2012						X									X										X						
	Spotsylvania Cnty VA Wtr & Swr Bd 5 125% 06/01/2011-01						X																									P
	Purchased interest thereon		X																													P

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000*	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000*	XI Over $5,000,000	BLOCK I Transaction: P, S, E
	Suffolk Va Rfdg Pub Impt Bd 5% 12/01/2013-07						X																									P
	Purchased interest thereon			X																												P
	Upper Occoquan Sew Auth VA Regl Sew Rev Ser A Bd 6% 07/01/2005						X																									P
	Purchased interest thereon			X																												P
	Virginia Beach VA Bd 6 9% 10/01/2001-99						X									X										X						
	Virginia St Bd 5 9% 06/01/2005						X									X										X						
	VA ST Hsg Dev Auth Multi Fam Ser H Bd 6 3% 11/01/2015-05						X									X										X						
	Virginia ST Transn Brd Transn Contract Rev Northern Dist PG-A Bd 6 25% 05/15/2012-04						X									X										X						
	Winchester VA Bd 6 85% 10/15/2006-97	X														X										X						S
																	X						X									

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	AT&T Corp			X										X								X										E
	Anheuser-Busch Companies Inc							X						X			X								X	X						S
	Apple Computer Inc	X																														P,S
	Apple South Inc	X															X								X							P,S
	Ascend Communications	X															X							X								P,S
	Benton Oil & Gas Co				X																											P
	Boston Chicken Inc	X															X					X										P,S
	Cabletron Sys Inc	X																														S
	Cadmus Communications Corp	X												X									X									S
	Chrysler Corp	X												X									X									S
	Ciprico Inc	X															X						X									P,S
	Columbia/HCA Healthcare Corp				X									X								X										P
	Copart Inc	X																														P S
	Crestar Financial Corp					X								X									X									P

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Ensco Internation Inc					X								X								X										
	EVI Inc (formerly Energy Ventures Inc)					X																										
	Fastcomm Communications Corp	X																														P,S
	Georgia Pacific Corp				X									X								X										P,E
	Georgia Pacific Corp Timber Group			X																												E
	Harken Energy Corp	X															X								X							P,S
	Heilig Meyers Co	X															X								X							S
	Home Depot Inc	X															X										X					S
	Imatron Inc	X																														P,S
	Lidak Pharmaceuticals	X															X							X								P,S
	Lone Star Steakhouse Saloon			X																												P
	Lucent Technologies Inc			X										X								X										
	Media General Inc Cl A				X									X									X									P
	Mylan Laboratories Inc	X															X						X									S

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Nimbus CD Intl Inc	X																														P,S
	NCR Corp New		X																													E
	RJR Nabisco	X												X								X										S
	S&K Famous Brands Inc				X												X							X								P,S
	Stein Mart Inc					X																										P
	Tidewater Inc	X												X			X					X				X						S
	United Dominion Rlty Trust Inc	X												X			X						X		X							S
	UTS EFT REIT Portfolio Ser 97M Mthly Pmt				X									X									X									P
	Varco International Inc	X															X									X						S
	Smith Barney Money Funds Inc						X							X											X							
	Federal Home Loan MTG Corp Debs 7 25% 11/01/2006						X									X									X							

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	Archer-Daniels-Midland Co					X								X									X									
	Ladd Furniture Inc			X																												
	Halliburton Co			X										X								X										
	Highland Ins Group		X																													
	PepsiCo Inc									X				X													X					E
	Signet Banking Corp	X												X										X								E
	First Union Corp					X																										E
	Doughtie's Foods, Inc			X										X								X										
	Earthgrains Co			X										X								X										
	Signet Bank - Cash Accounts					X										X										X						
	Metropolitan Life - Dividend Account			X												X						X										
	Congressional Federal Credit Union - Cash Accounts						X									X									X							
	State Bank of the Alleghenies (Covington, Va)(2)					X								X										X								
	RJ Industries Inc (2)			X										X								X										

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	The Berkeley Venture: (4) Assets of The Berkeley Venture: Cash - Bank of Southside Virginia 10.628 acres of unimproved real estate, City of Petersburg, VA				X																											
	Lee Distributing Co Inc Employees' Pension Plan [7(a)]									X										Pension								X				
	Improved Commercial Real Estate, Blackstone, VA (3)					X																										
	Virginia Retirement System [7(b)]			X																Pension				X								
	Patterson Land Corporation (8)			X																			X									
	MFS Money Market Fund					X								X											X							
	Capital One Financial Corp					X								X									X									
	Whitehill LC 7.75% deed of Trust Note payable in level monthly payments until 7/31/05 when the balance matures (1)									X						X											X					
																	X								X							E
	Tricon Global Restuarants							X																								E
	LDC Distributing, Inc (5)	X																														S

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	New Dominion LC (6)									X				Limited Liability Company															X			
	Assets of New Dominion LC																															
	Auto Data Processing Inc.																															
	Autozone																															
	Barrick Gold Company																															
	Benton Oil & Gas Co																															
	Calmat Company																															
	Caraustar Industries Inc																															
	Cendant Corp																															
	Cincinnati Financial Corp																															
	Cognizant Corp																															
	Columbia HCA/Healthcare Corp																															
	Compaq Computer Corp																															
	Cornerstone Realty																															
	Countrywide Cr Ind																															
	Crown Central Pete Corp Cl B																															
	Dollar General Corp																															
	DSC Communications Corp																															
	Ecolab Inc																															
	Ericsson LM Tel Co ADR Cl B SEK 10																															
	Espirito Santo Finan HDG SA ADR Sponsored																															
	Execustay Corp																															
	Exel Limited Ordinary Shares																															

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Assets of New Dominion LC, continued																															
	Federal Rlty Invt Tr SBI																															
	First Data Corp																															
	Gillette Co																															
	GTE Corp																															
	Intel Corp																															
	Investors Title Company																															
	Johnson & Johnson																															
	Linkon Corp - Units representing Common Shares plus Warrants Expiring 8/11/2000																															
	Loews Corp																															
	LSI Logic Corp																															
	Markel Corp																															
	Martin Marietta Materials Inc																															
	McDonalds Corp																															
	Merck & Co Inc																															
	MGI Properties																															
	Microsoft Corp																															
	Mid Ocean Limited Ordinary Shares																															
	Mills Corp																															
	Nabord Inds Inc																															
	Parker Vision																															
	Pfizer Inc																															

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income						BLOCK D Amount of Income												BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	Assets of New Dominion LC, continued																															
	Q Med Inc																															
	Rentokil Initial PLC Sponsored ADR																															
	Richfood Holdings Inc																															
	RLI Corporation																															
	Royal Group Technologies Ltd																															
	Schlumberger Ltd																															
	Scientific Atlanta Inc																															
	Silicon Graphics Inc																															
	Sotheby's Hldgs Inc CL A																															
	St Joe Corp																															
	Starbucks Corp																															
	Stein Mart Inc																															
	Synalloy Corp																															
	S&K Famous Brands Inc																															
	Texas Instruments Inc																															
	The Virtus Money Market Fund II																															
	Tidewater Inc																															
	Tiffany & Co New																															
	USX Corp New																															
	Walgreen Co																															
	Wal-Mart Stores																															
	Walt Disney Co (Holding Co)																															

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Assets of New Dominion LC, continued																															
	Wilmington Trust Corp																															
	Cash - Signet Trust Company																															
	Cash - Scott & Stringfellow, Inc																															
	Cash - Signet Bank																															
	Cash - Bank of the Commonwealth (CD's)																															
	Scott & Stringfellow Fed Govt Cash Series/FG																															
	Alliance Capital Mortgage Corp																															
	Equitable Cos.																															
	First Federal Savings Bank																															
	Accounts Receivable - Members																															
	U S Treasury 7 75% Bond Due 11/30/99																															
	Benham Certified Metals - Gold																															
	Polar Fund, LTD																															
	Las Gaviotas Shopping Center, Va. Beach, Va., Tenancy-in-Common Interest																															
	Gulfstream Partners, L.P.																															

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

NAME Norman Sisisky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	X. Over $5,000,000	P, S, E
	Assets of New Dominion LC, continued																															
	Taylor Capital Management, a ltd partnership																															
	Cash Value of Life Insurance																															
	Computer equipment																															

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	See attached continuation sheets.														
	Transactions listed in Schedule IV continuation sheets are in common stock unless otherwise indicated.														

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out		Type of Transaction			Date	Amount of Transation									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP,DC,JT	ASSET														
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Arlington Cnty VA BD 5% 6/01/2012-07	X			11/19/97				X						
	Blue Ridge Regl Jail Auth VA Regl Jail Fac Rev Bd 5 25% 12/01/2008-07	X			12/09/97				X						
	Chesapeake Va Wtr & Swr Bd 7% 12/01/2005	X			12/29/97				X						
	Newport News Va Wtr Ser A Bd 5 8% 06/01/2004-02	X			11/26/97				X						
	Purchased interest thereon	X			11/26/97 12/04/97	X X									
			X												
	Portsmouth VA Bd 5% 8/01/2010-06	X			11/19/97				X						
	Prince William Cnty VA Svc Auth Wtr & Swr Sys Rev Rfdg Bd 5 5% 07/01/2005	X			12/30/97				X						
	Spotsylvania Cnty VA Wtr & Swr Sys Rev Bd 5 125% 06/01/2011-07	X			12/16/97				X						
	Suffolk VA Pub Impt Rfdg Bd 5% 12/01/2013-07	X			12/17/97				X						
	Upper Occoquan Sew Auth Va Regl Sew Rev Bd 6% 07/01/2005	X			12/01/97				X						
	Eastern Va Med Auth Gen Rev Bd 8 125% 05/15/97		X		01/23/97				X						
	Fredericksburg VA Indl Dev Auth Hosp Facs RevRfdg Bd 5% 06/15/2007		X		04/17/97			X							
	Richmond VA Ser A Bd 7 1% 01/15/98		X		05/06/97				X						
	American Intl Grp Inc		X		04/17/97				X						

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000 Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Coca-Cola Co		X		10/17/97			X							
	McDonald's Corp		X		05/02/97			X							
	Winchester VA Bd 6 85% 10/15/2006-97		X		10/15/97				X						
	Automatic Data Processing Inc	X			02/04/97				X						
	Automatic Data Processing Inc	X			09/24/97			X							
	Autozone Inc	X			01/13/97			X							
	Autozone Inc	X			01/14/97			X							
	Autozone Inc	X			01/15/97			X							
	Autozone Inc	X			02/12/97	X									
	Autozone Inc	X			08/14/97		X								
	Autozone Inc	X			08/19/97		X								
	Autozone Inc	X			10/31/97	X									
	CUC Intl Inc	X			01/15/97		X								
	CUC Intl Inc	X			01/16/97	X									
	CUC Intl Inc	X			02/04/97		X								

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	CUC Intl Inc	X			02/05/97	X									
	CUC Intl Inc	X			06/02/97		X								
	CUC Intl Inc	X			06/10/97		X								
	CUC Intl Inc	X			06/16/97				X						
	CUC Intl Inc	X			06/17/97			X							
	CUC Intl Inc	X			06/18/97			X							
	CUC Intl Inc	X			11/03/97				X						
	Cisco Sys Inc	X			02/03/97				X						
	Cisco Sys Inc	X			02/04/97				X						
	Cisco Sys Inc	X			02/05/97				X						
	Disney Walt Co	X			01/16/97			X							
	Disney Walt Co	X			04/24/97		X								
	Disney Walt Co	X			10/29/97		X								
	Disney Walt Co	X			10/30/97		X								
	Disney Walt Co	X			10/31/97		X								

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out		Type of Transaction			Date	Amount of Transation									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP,DC,JT	ASSET														
SP	*Example.* Mega Corporation Common Stock	X			10-12-97		X								
	Dollar Gen Corp	X			10/31/97	X									
	First Data Corp	X			01/16/97				X						
	First Data Corp	X			02/04/97				X						
	First Data Corp	X			09/09/97		X								
	First Data Corp	X			09/10/97		X								
	First Data Corp	X			12/30/97	X									
	General Elec Co	X			06/09/97				X						
	General Elec Co	X			06/10/97			X							
	General Elec Co	X			06/11/97			X							
	Gillette Co	X			04/24/97		X								
	Gillette Co	X			04/25/97		X								
	Gillette Co	X			09/16/97				X						
	Intel Corp	X			02/11/97					X					
	Intel Corp	X			04/29/97			X							
	Intel Corp	X			05/01/97			X							

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Intel Corp	X			05/02/97		X								
	Intel Corp	X			10/03/97		X								
	Johnson & Johnson	X			03/12/97				X						
	Johnson & Johnson	X			03/13/97			X							
	Johnson & Johnson	X			03/14/97				X						
	Johnson & Johnson	X			03/18/97			X							
	Johnson & Johnson	X			04/24/97				X						
	Johnson & Johnson	X			05/01/97			X							
	Johnson & Johnson	X			05/02/97		X								
	Johnson & Johnson	X			08/14/97		X								
	Johnson & Johnson	X			08/22/97			X							
	Johnson & Johnson	X			10/29/97			X							
	Johnson & Johnson	X			10/30/97		X								
	Lilly Eli & Co	X			08/15/97				X						
	McDonalds Corp	X			03/11/97				X						

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example.* Mega Corporation Common Stock	X			10-12-97		X								
	McDonalds Corp	X			04/01/97		X								
	McDonalds Corp	X			04/24/97				X						
	McDonalds Corp	X			04/30/97		X								
	Merck & Co Inc	X			12/09/97					X					
	Merck & Co Inc	X			12/23/97		X								
	Microsoft Corp	X			04/23/97			X							
	Microsoft Corp	X			10/06/97			X							
	Microsoft Corp	X			10/08/97			X							
	Microsoft Corp	X			10/31/97			X							
	Monsanto Co	X			01/15/97				X						
	Monsanto Co	X			01/16/97			X							
	Monsanto Co	X			03/25/97			X							
	Monsanto Co	X			04/01/97		X								
	Monsanto Co	X			04/24/97			X							
	Monsanto Co	X			06/26/97			X							

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

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		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP,DC,JT	ASSET														
SP	*Example.* Mega Corporation Common Stock	X			10-12-97		X								
	Pfizer Inc	X			01/16/97				X						
	Walgreen Co	X			03/20/97	X									
	Walgreen Co	X			03/24/97		X								
	Walgreen Co	X			04/09/97		X								
	Walgreen Co	X			10/29/97			X							
	Walgreen Co	X			10/30/97	X									
		X													
		X													
		X													
		X													
		X													
		X													
		X													
		X													
		X													

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

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SP,DC,JT	ASSET	PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Automatic Data Processing Inc		X		06/10/97			X							
	Automatic Data Processing Inc		X		06/11/97		X								
	Automatic Data Processing Inc		X		06/17/97		X								
	Automatic Data Processing Inc		X		06/18/97		X								
	Automatic Data Processing Inc		X		11/13/97				X						
	Autozone Inc		X		11/13/97				X						
	CUC Intl Inc		X		03/24/97			X							
	CUC Intl Inc		X		03/26/97	X									
	CUC Intl Inc		X		08/14/97	X									
	CUC Intl Inc		X		11/13/97				X						
	Cendant Corp		X		12/30/97			X							
	Cisco Sys Inc		X		04/23/97		X								
	Cisco Sys Inc		X		04/24/97					X					
	Coca-Cola Co		X		02/11/97			X							
	Coca-Cola Co		X		02/12/97		X								

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SCHEDULE IV - TRANSACTIONS

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SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Coca-Cola Co		X		03/03/97		X								
	Coca-Cola Co		X		03/04/97			X							
	Coca-Cola Co		X		04/24/97				X						
	Coca-Cola Co		X		04/28/97			X							
	Disney Walt Co		X		02/03/97				X						
	Disney Walt Co		X		02/04/97		X								
	Disney Walt Co		X		02/05/97		X								
	Disney Walt Co		X		06/17/97		X								
	Disney Walt Co		X		08/14/97		X								
	Disney Walt Co		X		11/13/97				X						
	Dollar Gen Corp		X		02/11/97				X						
	Dollar Gen Corp		X		03/31/97		X								
	Dollar Gen Corp		X		04/01/97		X								
	Dollar Gen Corp		X		06/17/97		X								
	Dollar Gen Corp		X		11/13/97				X						

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SCHEDULE IV - TRANSACTIONS

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	First Data Corp		X		06/09/97		X								
	First Data Corp		X		06/16/97			X							
	First Data Corp		X		06/17/97		X								
	First Data Corp		X		07/21/97		X								
	First Data Corp		X		11/03/97				X						
	First Data Corp		X		11/13/97			X							
	General Elec Co		X		10/10/97		X								
	General Elec Co		X		10/29/97				X						
	General Elec Co		X		10/30/97				X						
	Gillette Co		X		02/03/97			X							
	Gillette Co		X		02/04/97				X						
	Gillette Co		X		08/14/97			X							
	Gillette Co		X		10/08/97			X							
	Gillette Co		X		11/13/97				X						
	Intel Corp		X		02/28/97		X								

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SCHEDULE IV - TRANSACTIONS

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Intel Corp		X		03/11/97				X						
	Intel Corp		X		03/17/97			X							
	Intel Corp		X		08/19/97			X							
	Intel Corp		X		11/03/97				X						
	Intel Corp		X		11/13/97				X						
	Johnson & Johnson		X		11/13/97				X						
	Johnson & Johnson		X		12/09/97			X							
	Lilly Eli & Co		X		09/16/97				X						
	Mattel Inc		X		01/10/97				X						
	Mattel Inc		X		01/13/97					X					
	McDonalds Corp		X		01/15/97		X								
	McDonalds Corp		X		01/16/97				X						
	McDonalds Corp		X		02/03/97			X							
	McDonalds Corp		X		02/04/97			X							
	McDonalds Corp		X		02/11/97		X								

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SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	McDonalds Corp		X		06/02/97			X							
	McDonalds Corp		X		08/11/97			X							
	McDonalds Corp		X		10/16/97		X								
	McDonalds Corp		X		11/13/97			X							
	Microsoft Corp		X		01/15/97			X							
	Microsoft Corp		X		01/16/97			X							
	Microsoft Corp		X		03/11/97			X							
	Microsoft Corp		X		04/24/97					X					
	Microsoft Corp		X		11/13/97			X							
	Monsanto Co		X		01/28/97			X							
	Monsanto Co		X		02/03/97				X						
	Monsanto Co		X		09/22/97			X							
	Monsanto Co		X		09/24/97				X						
	Pfizer Inc		X		06/09/97				X						
	Pfizer Inc		X		10/29/97				X						

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SCHEDULE IV - TRANSACTIONS

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Pfizer Inc		X		11/07/97			X							
	Pfizer Inc		X		11/13/97				X						
	Pfizer Inc		X		12/09/97			X							
	Rentokil Initial PLC Sponsored ADR		X		02/11/97			X							
	Rentokil Initial PLC Sponsored ADR		X		04/16/97		X								
	Rentokil Initial PLC Sponsored ADR		X		06/09/97			X							
	Rentokil Initial PLC Sponsored ADR		X		08/14/97		X								
	Rentokil Initial PLC Sponsored ADR		X		09/16/97	X									
	Rentokil Initial PLC Sponsored ADR		X		11/13/97				X						
	Solutia Inc		X		09/10/97		X								
	Walgreen Co		X		08/27/97			X							
	Walgreen Co		X		11/13/97				X						
	Walgreen Co		X		11/26/97		X								
	Walgreen Co		X		11/28/97		X								
	Walgreen Co		X		12/01/97		X								

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SCHEDULE IV - TRANSACTIONS

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SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Walgreen Co		X		12/02/97		X								
	Walgreen Co		X		12/09/97			X							
	Wachovia Corp in exchange for Central Fidelity Bks Inc			X	12/23/97			X							
	Cendant Corp in exchange for CUC Intl Corp			X	12/24/97						X				
	Solutia Corp Spinoff from Monsanto Co			X	09/09/97		X								

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SCHEDULE IV - TRANSACTIONS

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Anheuser-Busch Companies Inc		X		11/03/97		X								
	Apple Computer Inc	X			09/30/97		X								
	Apple Computer Inc		X		11/07/97		X								
	Apple South Inc	X			01/20/97		X								
	Apple South Inc		X		01/23/97		X								
	Ascend Communications	X			01/31/97		X								
	Ascend Communications	X			02/10/97		X								
	Ascend Communications	X			04/01/97		X								
	Ascend Communications	X			06/10/97		X								
	Ascend Communications	X			06/30/97		X								
	Ascend Communications	X			10/24/97		X								
	Ascend Communications		X		05/05/97				X						
	Ascend Communications		X		07/02/97			X							
	Ascend Communications		X		12/02/97		X								
	Autozone Inc	X			01/07/97		X								

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Autozone Inc	X			01/10/97		X								
	Benton Oil & Gas Co	X			04/11/97	X									
	Benton Oil & Gas Co	X			09/02/97		X								
	Boston Chicken Inc	X			06/04/97	X									
	Boston Chicken Inc		X		07/01/97	X									
	Cabletron Sys Inc		X		03/05/97		X								
	Cadmus Communications Corp		X		09/02/97			X							
	Chrysler Corp		X		03/05/97		X								
	Ciprico Inc	X			01/10/97	X									
	Ciprico Inc		X		03/05/97	X									
	Columbia/HCA Healthcare Corp	X			10/17/97		X								
	Copart Inc	X			01/10/97	X									
	Copart Inc		X		03/05/97		X								
	Crestar Financial Corp	X			09/02/97		X								
	Dollar General Corp	X			04/22/97		X								

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SP	*Example.* Mega Corporation Common Stock	X			10-12-97		X								
	Dollar General Corp		X		06/19/97		X								
	Fastcomm Communications Corp	X			06/06/97		X								
	Fastcomm Communications Corp		X		11/07/97	X									
	Georgia Pacific Corp	X			09/02/97		X								
	Georgia Pacific Corp Timber Group received as distribution from Georgia Pacific Corp			X	12/17/97	X									
	Harken Energy Corp	X			02/05/97	X									
	Harken Energy Corp		X		03/04/97	X									
	Heilig Myers Co		X		01/02/97		X								
	Home Depot Inc		X		03/05/97			X							
	Imatron Inc	X			01/10/97	X									
	Imatron Inc		X		03/05/97	X									
	Lidak Pharmaceuticals	X			07/30/97		X								
	Lidak Pharmaceuticals		X		08/18/97		X								
	Lone Star Steakhouse Saloon	X			01/10/97	X									
	Media General Inc Cl A	X			07/11/97		X								

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Mylan Laboratories Inc		X		03/05/97		X								
	Nimbus CD Intl Inc	X			02/01/97		X								
	Nimbus CD Intl Inc		X		03/05/97	X									
	Nimbus CD Intl Inc		X		09/05/97		X								
	NCR Corp New received as a distribution from AT&T Corp			X	01/02/97	under $1,000									
	RJR Nabisco		X		03/05/97	X									
	S&K Famous Brands Inc	X			10/08/97		X								
	S&K Famous Brands Inc		X		01/10/97		X								
	Stein Mart Inc	X			12/22/97			X							
	Tidewater Inc		X		03/05/97	X									
	United Dominion Rlty Trust Inc		X		03/05/97		X								
	UTS EFT REIT Portfolio Ser 97M Mthly Pmt	X			09/11/97		X								
	Varco International Inc	X			01/15/97		X								
	Wachovia Corp New in exchange for Central Fidelity Bks Inc			X	12/15/97			X							

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

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SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Whitehill LC 7.75% Deed of Trust Note, principal collections			X	Various			X							
	Signet Banking Corp exchanged for First Union Corp			X	12/01/97			X							
	Distribution of Tricon Global Restaurants by PepsiCo Inc			X	10/06/97					X					
	LDC Distributing Inc		X		03/31/97	X	(Liquidating proceeds)								

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SCHEDULE IV - TRANSACTIONS

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC (6)														
	Accustaff Inc	X			04/02/97	X									
	Altera Corp	X			05/22/97	X									
	Apple Computer Inc	X			10/03/97	X									
	Apple South Inc	X			01/23/97	X									
	Ascend Communications Inc	X			02/05/97	X									
	Ascend Communications Inc	X			02/13/97	X									
	Ascend Communications Inc	X			04/04/97	X									
	Ascend Communications Inc	X			06/13/97	X									
	Ascend Communications Inc	X			07/03/97	X									
	Ascend Communications Inc	X			10/29/97	X									
	Ascend Communications Inc	X			11/17/97	X									
	Autozone Inc	X			01/09/97	X									
	Benton Oil & Gas Co	X			04/16/97	X									
	Benton Oil & Gas Co	X			05/16/97	X									
	Boston Chicken Inc	X			06/09/97	X									
	Boston Scientific Corp	X			04/16/97	X									
	C-Cube Microsystems Inc	X			09/11/97	X									
	Capital One Finl Corp	X			03/07/97	X									
	Coca-Cola Co	X			08/18/97		X								
	Columbia/HCA Healthcare Corp	X			10/21/97	X									
	Columbia/HCA Healthcare Corp	X			10/22/97	X									
	Compaq Computer Corp	X			12/15/97		X								
	Cornerstone Rlty Income Tr Inc	X			04/23/97	X									
	Crestar Finl Corp	X			08/18/97	X									
	Crestar Finl Corp	X			08/27/97	X									
	DSC Communications Corp	X			10/16/97	X									

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SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO.DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued														
	Dell Computer Corp	X			02/18/97		X								
	Dell Computer Corp	X			10/29/97	X									
	Dell Computer Corp	X			11/04/97	X									
	Delta Airlines Inc	X			07/03/97	X									
	Ecolab Inc	X			10/31/97	X									
	Ericsson LM Tel Co ADR Cl B SEK 10	X			12/15/97	X									
	Espirito Santo Finl Hldg SA Sponsored ADR	X			10/14/97	X									
	Execustay Corp	X			09/03/97	X									
	FPA Medical Mgmt Inc	X			04/15/97	X									
	Fastcomm Communications Corp	X			06/09/97	X									
	First Data Corp	X			02/05/97	X									
	Gilead Sciences Inc	X			02/03/97	X									
	Harcourt Gen Inc	X			04/16/97	X									
	Harken Energy Corp	X			01/21/97	X									
	Hot Topic Inc	X			01/07/97	X									
	LSI Logic Corp	X			10/14/97	X									
	Lidak Pharmaceuticals Cl A	X			08/06/97	X									
	Lone Star Steakhouse Saloon	X			03/27/97	X									
	Markel Corp	X			01/24/97	X									
	Media Gen Inc Cl A	X			07/16/97	X									
	Media Gen Inc Cl A	X			09/15/97	X									
	Merck & Co Inc	X			04/03/97	X									
	Micron Technology Inc	X			10/08/97	X									
	Milestone Scientific Inc	X			10/08/97	X									
	Mills Corp	X			12/12/97	X									
	Motorola Inc	X			02/19/97	X									

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued.														
	Nabors Inds Inc	X			12/31/97	X									
	NationsBank Corp	X			03/14/97	X									
	Newmont MNG Corp	X			03/13/97	X									
	Nimbus CD Intl Inc	X			08/06/97	X									
	Oakwood Homes Corp	X			03/04/97	X									
	Oracle Corp	X			02/19/97	X									
	Pairgain Technologies Inc	X			02/21/97	X									
	Parkervision Inc	X			12/31/97	X									
	Philip Morris Cos Inc	X			03/26/97	X									
	Philip Morris Cos Inc	X			05/07/97	X									
	Q Med Inc	X			05/30/97	X									
	Q Med Inc	X			10/31/97	X									
	Q Med Inc	X			11/28/97	X									
	Royal Grp Technologies Ltd Sub VTG SH	X			10/09/97	X									
	S&K Famous Brands Inc	X			10/14/97	X									
	Saks Hldngs Inc	X			06/09/97	X									
	Schlumberger Ltd	X			12/02/97	X									
	Scientific Atlanta Inc	X			10/14/97	X									
	Service Merchandise Inc	X			09/03/97	X									
	Silicon Graphics Inc	X			10/09/97	X									
	Starbucks Corp	X			01/28/97	X									
	Starbucks Corp	X			07/15/97	X									
	Starbucks Corp	X			10/08/97	X									
	Stein Mart Inc	X			06/09/97	X									
	Stein Mart Inc	X			12/26/97		X								
	Stillwater Mng Co	X			06/04/97	X									

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued:														
	Texas Instrs Inc	X			11/24/97	X									
	Thermedics Inc	X			10/14/97	X									
	Tidewater Inc	X			12/01/97	X									
	Tiffany & Co New	X			08/20/97	X									
	Wal-Mart Stores Inc	X			12/22/97	X									

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued:														
	Automatic Data Processing Inc	X			02/04/97	X									
	Automatic Data Processing Inc	X			09/24/97	X									
	Autozone Inc	X			01/13/97	X									
	Autozone Inc	X			01/14/97	X									
	Autozone Inc	X			01/15/97	X									
	Autozone Inc	X			02/12/97	X									
	Autozone Inc	X			08/14/97	X									
	Autozone Inc	X			08/19/97	X									
	Autozone Inc	X			10/31/97	X									
	CUC Intl Inc	X			01/13/97	X									
	CUC Intl Inc	X			01/15/97	X									
	CUC Intl Inc	X			01/16/97	X									
	CUC Intl Inc	X			06/02/97		X								
	CUC Intl Inc	X			06/10/97	X									
	CUC Intl Inc	X			06/16/97		X								
	CUC Intl Inc	X			06/17/97	X									
	CUC Intl Inc	X			06/18/97	X									
	CUC Intl Inc	X			11/03/97		X								
	Cisco Sys Inc	X			02/03/97		X								
	Cisco Sys Inc	X			02/04/97		X								
	Cisco Sys Inc	X			02/05/97		X								
	Cisco Sys Inc	X			02/28/97	X									
	Cognizant Corp	X			11/18/97		X								
	Disney Walt Co	X			01/16/97	X									
	Disney Walt Co	X			04/24/97	X									
	Disney Walt Co	X			10/29/97	X									
	Disney Walt Co	X			10/30/97	X									

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SP	*Example.* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued														
	Disney Walt Co	X			10/31/97	X									
	Dollar Gen Corp	X			10/31/97	X									
	First Data Corp	X			01/16/97	X									
	First Data Corp	X			01/10/97	X									
	First Data Corp	X			02/04/97	X									
	First Data Corp	X			09/09/97	X									
	First Data Corp	X			09/10/97	X									
	First Data Corp	X			12/30/97	X									
	General Elec Co	X			06/09/97		X								
	General Elec Co	X			06/10/97	X									
	General Elec Co	X			06/11/97	X									
	Gillette Co	X			04/24/97	X									
	Gillette Co	X			04/25/97	X									
	Gillette Co	X			09/16/97		X								
	Intel Corp	X			04/29/97	X									
	Intel Corp	X			05/01/97	X									
	Intel Corp	X			05/07/97	X									
	Intel Corp	X			10/03/97	X									
	Johnson & Johnson	X			03/12/97		X								
	Johnson & Johnson	X			03/13/97	X									
	Johnson & Johnson	X			03/14/97		X								
	Johnson & Johnson	X			03/18/97	X									
	Johnson & Johnson	X			04/24/97		X								
	Johnson & Johnson	X			05/01/97		X								
	Johnson & Johnson	X			05/02/97	X									
	Johnson & Johnson	X			08/14/97	X									
	Johnson & Johnson	X			08/22/97	X									

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued.														
	Johnson & Johnson	X			10/29/97	X									
	Johnson & Johnson	X			10/30/97	X									
	Lilly Eli & Co	X			08/15/97		X								
	McDonalds Corp	X			03/11/97	X									
	McDonalds Corp	X			04/01/97	X									
	McDonalds Corp	X			04/24/97		X								
	McDonalds Corp	X			04/30/97	X									
	Merck & Co Inc	X			12/09/97			X							
	Merck & Co Inc	X			12/23/97	X									
	Microsoft Corp	X			04/23/97	X									
	Microsoft Corp	X			10/08/97		X								
	Microsoft Corp	X			10/31/97		X								
	Monsanto Co	X			01/15/97		X								
	Monsanto Co	X			01/16/97	X									
	Monsanto Co	X			03/25/97	X									
	Monsanto Co	X			04/01/97	X									
	Monsanto Co	X			04/24/97	X									
	Monsanto Co	X			06/26/97	X									
	Pfizer Inc	X			01/16/97		X								
	Walgreen Co	X			02/06/97	X									
	Walgreen Co	X			03/14/97	X									
	Walgreen Co	X			03/20/97	X									
	Walgreen Co	X			03/21/97	X									

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued														
	Barrick Gold Company	X			12/09/97	X									
	Caraustar Industries Inc	X			02/11/97	X									
	Cincinnati Financial Corp	X			02/11/97	X									
	Crown Centarl Pete Corp Cl B	X			10/09/97	X									
	Federal Rlty Invt Tr SBI	X			08/27/97	X									
	MGI Properties	X			07/21/97	X									
	St Joe Corp	X			08/15/97	X									
	Computer equipment	X			06/02/97	X									
	Gulfstream Partners, L P			X	01/02/97			X							
	New England Growth Fund of Israel CL A		X		02/13/97	X									
	Accustaff Inc		X		01/24/97	X									
	Accustaff Inc		X		04/18/97	X									
	Albemarle Corp		X		04/18/97	X									
	Alltel Corp		X		04/18/97	X									
	Altera Corp		X		06/02/97	X									
	Anheuser Busch Cos Inc		X		11/06/97		X								
	Apple Computer Inc		X		11/13/97	X									
	Apple South Inc		X		01/28/97	X									
	Ascend Communications Inc		X		05/08/97		X								
	Ascend Communications Inc		X		07/08/97		X								
	Ascend Communications Inc		X		12/02/97	X									
	Ascend Communications Inc		X		12/05/97	X									
	Autozone Inc		X		07/15/97		X								
	Benton Oil & Gas Co		X		09/19/97	X									
	Boston Chicken Inc		X		06/27/97	X									
	Boston Scientific Corp		X		05/19/97	X									

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued:														
	Builders Trans Inc		X		02/26/97	X									
	C-Cube Microsystems Inc.		X		12/02/97	X									
	Cadmus Communications		X		09/04/97	X									
	Callaway Golf Co		X		03/18/97	X									
	Capital One Finl Corp		X		05/07/97	X									
	Chesapeake Corp		X		01/24/97		X								
	Coca Cola Co		X		12/03/97		X								
	Crestar Finl Corp		X		11/13/97	X									
	Crestar Finl Corp		X		12/05/97	X									
	Deere & Co		X		03/10/97	X									
	Dell Computer Corp		X		02/28/97		X								
	Dell Computer Corp		X		11/07/97	X									
	Delta Airlines Inc Del		X		09/12/97	X									
	Dominion Res Inc VA		X		04/18/97	X									
	Exxon Corp		X		05/07/97		X								
	FPA Medical Mgmt Inc		X		03/10/97	X									
	FPA Medical Mgmt Inc		X		04/22/97	X									
	Fastcomm Communications Corp		X		11/13/97	X									
	First Data Corp		X		03/12/97	X									
	First Union Corp		X		09/15/97	X									
	Gilead Sciences Inc		X		06/27/97	X									
	Harcourt Gen Inc		X		05/07/97	X									
	Harken Energy Corp		X		03/10/97	X									
	Hot Topic Inc		X		03/18/97	X									
	Imatron Inc		X		04/18/97	X									
	Iomega Corp		X		06/27/97	X									

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued														
	Lidak Pharmaceuticals CIA		X		08/21/97	X									
	Lone Star Steakhouse Saloon		X		04/25/97	X									
	Media Gen Inc Cl A		X		11/13/97	X									
	Merck & Co Inc.		X		04/18/97	X									
	Merrill Lynch & Co Inc		X		03/10/97	X									
	Micron Technology Inc		X		11/13/97	X									
	Milestone Scientific Inc		X		10/22/97	X									
	Mobil Corp		X		05/07/97		X								
	Motorola Inc		X		04/10/97	X									
	Nationsbank Corp		X		06/27/97	X									
	Newmont Mng Corp		X		10/08/97	X									
	Nimbus CD Intl Inc		X		09/10/97	X									
	Oakwood Homes Corp		X		05/16/97	X									
	Oracle Corp		X		05/06/97	X									
	Pairgain Technologies Inc		X		13/10/97	X									
	Philip Morris Cos Inc		X		03/07/97		X								
	Philip Morris Cos Inc		X		07/11/97	X									
	Promus Hotel Corp		X		04/18/97		X								
	Q Med Inc		X		10/06/97	X									
	Saks Hldngs Inc		X		11/05/97	X									
	Service Merchandise Inc		X		12/30/97	X									
	Signet Bkg Corp		X		11/13/97			X							
	Stein Mart Inc		X		03/17/97		X								
	Stein Mart Inc		X		09/15/97	X									
	Stillwater Mng Co		X		10/08/97	X									
	Synalloy Corp		X		04/18/97		X								
	Thermedics Inc		X		11/13/97	X									

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued:														
	United Dominion Realty Tr Inc		X		04/18/97		X								
	Loral Space & Communications Ltd		X		03/18/97	X									
	First TR Spl Situations TR SPL TR SR 157		X		10/15/97		X								

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	ASSET		Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example*	Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued															
	Automatic Data Processing Inc			X		06/10/97	X									
	Automatic Data Processing Inc			X		06/11/97	X									
	Automatic Data Processing Inc			X		06/17/97	X									
	Automatic Data Processing Inc			X		06/18/97	X									
	CUC Intl Inc			X		03/24/97	X									
	CUC Intl Inc			X		03/26/97	X									
	CUC INtl Inc			X		08/14/97	X									
	Cendant Corp			X		12/30/97	X									
	Cisco Sys Inc			X		04/23/97	X									
	Cisco Sys Inc			X		04/24/97		X								
	Coca-Cola Co			X		02/12/97	X									
	Coca-Cola Co			X		03/03/97	X									
	Coca-Cola Co			X		03/04/97	X									
	Coca-Cola Co			X		04/24/97		X								
	Coca-Cola Co			X		04/28/97		X								
	Disney Walt Co			X		02/03/97	X									
	Disney Walt Co			X		02/04/97	X									
	Disney Walt Co			X		02/05/97	X									
	Disney Walt Co			X		06/17/97	X									
	Disney Walt Co			X		08/14/97	X									
	Dollar Gen Corp			X		03/11/97	X									
	Dollar Gen Corp			X		03/12/97	X									
	Dollar Gen Corp			X		03/13/97	X									
	Dollar Gen Corp			X		03/31/97	X									
	Dollar Gen Corp			X		04/01/97	X									
	Dollar Gen Corp			X		06/17/97	X									

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3842

SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	ASSET	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transation: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example.* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued:														
	Dollar Gen Corp		X		10/08/97	X									
	First Data Corp		X		06/09/97	X									
	First Data Corp		X		06/16/97	X									
	First Data Corp		X		06/17/97	X									
	First Data Corp		X		07/21/97	X									
	First Data Corp		X		11/03/97		X								
	General Elec Co		X		10/10/97	X									
	General Elec Co		X		10/29/97		X								
	General Elec Co		X		10/30/97		X								
	Gillette Co		X		02/03/97	X									
	Gillette Co		X		02/04/97		X								
	Gillette Co		X		08/14/97	X									
	Gillette Co		X		10/08/97	X									
	Intel Corp		X		01/16/97		X								
	Intel Corp		X		02/28/97	X									
	Intel Corp		X		03/11/97		X								
	Intel Corp		X		03/17/97		X								
	Intel Corp		X		08/19/97	X									
	Intel Corp		X		11/03/97		X								
	Johnson & Johnson		X		12/09/97	X									
	Lilly Eli & Co		X		09/16/97		X								
	Mattel Inc	X			01/10/97		X								
	Mattel Inc	X			01/13/97		X								
	McDonalds Corp	X			01/15/97	X									
	McDonalds Corp	X			01/16/97	X									
	McDonalds Corp	X			02/03/97	X									

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued:														
	McDonalds Corp		X		02/04/97	X									
	McDonalds Corp		X		06/02/97	X									
	McDonalds Corp		X		08/11/97	X									
	McDonalds Corp		X		10/16/97	X									
	Microsoft Corp		X		01/15/97	X									
	Microsoft Corp		X		01/16/97	X									
	Microsoft Corp		X		03/11/97	X									
	Microsoft Corp		X		04/24/97			X							
	Monsanto Co		X		01/28/97	X									
	Monsanto Co		X		02/03/97		X								
	Monsanto Co		X		09/22/97	X									
	Monsanto Co		X		09/24/97		X								
	Pfizer Inc		X		06/02/97	X									
	Pfizer Inc		X		06/12/97	X									
	Pfizer Inc		X		10/29/97		X								
	Pfizer Inc		X		11/07/97		X								
	Pfizer Inc		X		12/09/97	X									
	Rentokil Initial PLC Sponsored ADR		X		04/16/97	X									
	Rentokil Initial PLC Sponsored ADR		X		06/09/97	X									
	Rentokil Initial PLC Sponsored ADR		X		08/14/97	X									
	Rentokil Initial PLC Sponsored ADR		X		09/16/97	X									
	Solutia Inc		X		09/10/97	X									
	Walgreen Co		X		11/28/97	X									
	Walgreen Co		X		12/01/97	X									
	Walgreen Co		X		12/02/97	X									
	Walgreen Co		X		12/09/97	X									

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SCHEDULE IV - TRANSACTIONS

NAME Norman Sisisky

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SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Transactions of New Dominion LC, continued:														
	Alcan Aluminum Ltd		X		12/04/97	X									
	Reynolds Metals Co		X		02/11/97	X									
	Saloman Incorporated		X		10/09/97	X									
	Walshire Assurance Co		X		08/15/97	X									
	CUC Intl Inc exchanged for Cendant Corp			X	12/24/97						X				
	Solutia Inc spinoff from Monsanto Co			X	09/09/97	X									

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Norman Sisisky

Notes to Accompanying Schedules III and IV

(1) Collateralized by commercial real estate at 1990 East Whitehill Road, Prince George County, Virginia. Monthly payments of principal and interest were collected in 1997 with respect to such note.

(2) Valuation furnished by the issuer.

(3) Reported at assessed value.

(4) The Berkeley Venture, a joint venture organized in Virginia, invests in unimproved real estate and has its principal place of business in the City of Newport News, Virginia. The valuation is based on the Member's underlying book value except as to real estate which is based on the assessed value thereof.

(5) LDC Distributing, Inc., formerly a closely held Virginia corporation which had its principal place of business at 1990 East Whitehill Road, Prince George, Virginia, was liquidated as of March 31, 1997.

(6) New Dominion LC is a Virginia limited liability company having its principal place of business at 1990 East Whitehill Road, Prince George, Virginia. The data set forth in Schedules III and IV reflect the Member's and his spouse's 1997 reportable interests.

(7)(a) As previously reported, the Member is a vested participant in a qualified pension plan (Lee Distributing Company, Inc. Employees' Pension Plan) sponsored by his former employers. Under this plan, the employers made contributions to a qualified pension trust, based generally on participants' compensation. Because the Member, prior to 1985, ceased to be an employee of any contributing employer, no future contributions to such pension plan on behalf of the Member are anticipated. The category of value is based on the latest available actuarial data, which includes the Member's spouse's interest in such plan. The Member's initial benefit payment was received in 1997.

(b) The Member, as a former member of the Virginia House of Delegates, receives a pension from the Virginia Retirement System. The category of value is estimated, based on the present value of expected future benefits.

(8) Patterson Land Corporation, a Virginia corporation, has its principal office in Henrico County, Richmond, Virginia. Because its common stock is closely held, and in the absence of pertinent information, the value of the investment is based on the best available information.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Joint Venturer	The Berkeley Venture
Member	New Dominion LC

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	See Note (7)(a) to Schedules III and IV hereof.	

GPO 1998 46-260(MJC)

Use additional sheets if more space is required.

NORMAN SISISKY
4TH DISTRICT, VIRGINIA

WASHINGTON OFFICE
2331 RAYBURN BUILDING
WASHINGTON, DC 20515-4604
(202) 225-9385

NATIONAL SECURITY COMMITTEE
RANKING MEMBER, MILITARY PROCUREMENT SUBCOMMITTEE
MILITARY READINESS SUBCOMMITTEE
MILITARY INSTALLATIONS AND FACILITIES SUBCOMMITTEE
MORALE, WELFARE AND RECREATION PANEL

SMALL BUSINESS COMMITTEE
REGULATORY REFORM AND PAPERWORK REDUCTION SUBCOMMITTEE

HAND DELIVERED

RECEIVED
98 JUN -9 PM 5:34
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Congress of the United States
House of Representatives
Washington, DC 20515-4604

CONSTITUENT SERVICE OFFICES
PORTSMOUTH SQUARE #204
309 COUNTY STREET
PORTSMOUTH, VA 23704
757 393-2068

13 RIVES ROAD
PETERSBURG, VA 23805
804 732-2544

EXECUTIVE CENTER
425 S. SOUTH MAIN STREET
EMPORIA, VA 23847
804 634-5575

EMAIL: http://www.house.gov/sisisky

June 9, 1998

The Honorable Robin H. Carle, Clerk
Office of Records and Regulations
Room B 106, Cannon House Office Building
Washington, D.C. 20515

MC (1)

Dear Madam Clerk:

It has come to my attention that one line of information reported in my Financial Disclosure Statement for the Calendar Year 1997 needs to be supplemented. With respect to my holdings in Mobil Corporation, listed as the third item on page 5 of Schedule III, an "X" needs to be inserted in Category VI ($5,000-$15,000) under "Block D, Amount of Income."

Please consider this letter to be an amendment of my 1997 Financial Disclosure Statement. Thank you very much for your assistance in this matter.

Sincerely,

NORMAN SISISKY
Member of Congress

RECEIVED

98 MAY 15 A 10:52

HAND DELIVERED (8)

HC (Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

David Evans Skaggs
(Full Name)

1124 Longworth House Office Building (202) 225-2161
(Mailing Address) Daytime Telephone

Washington, D.C. 20515

Filer Status	[X] Member of the U.S. House of Representatives	State Colorado District 02	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penally* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (e.g., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL David Evans Skaggs

DATE (Month/Day/Year) May 15, 1998

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	National Trust for Historic Preservation	spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Examples			A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P S E
SP		SP	Mega Corp. Stock					X								X																		P
DC			Simon & Schister		Indefinite																	Royalties									X			
JT			1st Bank of Paducah KY accounts						X									X									X							
	Dean Witter IRA																																	
	DW Liquid Account					X										X							NA											
	DW Global Div. Growth SCC					X										X			X				NA											P
	Air Methods Corp.				X																			X										
	DW Japan Fund					X										X			X				NA											P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David Evans Skaggs

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
SP	Kemper Growth Fund IRA			X													X				NA										
SP	Invest. Co. Amer. IRA			X													X				NA										
SP	Grace Petro. Corp.			X										royalty									X								
SP	20th Century Funds (retirement)			X										X			X				NA										

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Name David Evans Skaggs | Page 5 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Dean Witter IRA														
	DW Sears Liquid Asset Fund	X	X		various	X									
	DW Global Div. Growth Fund	X			1/17/97	X									
	DW Japan Fund	X			1/17/97	X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute	Mar 6-7	WDC - Hershey, PA - WDC	Y	Y	Y	N

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DEAN WITTER REYNOLDS INC

This transaction is consummed in accordance with the explanations and conditions stated on the reverse side

Exchange Code: S
Execution Code: N
Your Account Number: 543-011227-04139
Cash Account

#S000002307 01 000000008
DEAN WITTER REYNOLDS CUST FOR
DAVID E SKAGGS
IRA/STD/I/DTD 04/15/83
1124 LONGWORTH HOUSE OFFICE
WASHINGTON DC 20515-0004

Your Account Executive
ELIZABETH JONES
4582 SOUTH ULSTER ST SUITE 300
DENVER, CO 80237
(303) 771-0808

You Bought
Trade Date 01/17/97 for Settlement on 01/23/97

Quantity	495.427	Price	13.35	Settlement Amount
Description DEAN WITTER GLOBAL DIV GROWTH ON SELLING YOUR SHARES, YOU MAY PAY A SALES CHARGE. FOR THE CHARGE AND OTHER FEES, PLEASE SEE THE PROSPECTUS. QUANTITY INCLUDES FRACTIONAL SHARES				Principal $6,654.00 Net Amount $6,654.00 Security No 24240W109 Symbol GLBDV

DEAN WITTER REYNOLDS INC

This transaction is confirmed in accordance with the explanations and conditions stated on the reverse side

Exchange Code: 8
Execution Code: M
Your Account Number: 343-011227-0-139
Cash Account

DEAN WITTER REYNOLDS CUST FOR
DAVID E SKAGGS
IRA/STD/I/DTD 04/15/85
1124 LONGWORTH/HOUSE OFFICE
WASHINGTON, DC 20515-0004

Your Account Executive
ELIZABETH JONES
4582 SOUTH ULSTER ST. SUITE 300
DENVER, CO 80237
(303) 771-0808

You Bought
Trade Date 01/17/97 for Settlement on 01/23/97

Quantity	Price	Settlement Amount	
$78.996	7.57		
Description			
DEAN WITTER JAPAN FUND		Principal	$6,654.00
ON SELLING YOUR SHARES, YOU MAY PAY A SALES CHARGE FOR THE CHARGE AND OTHER FEES PLEASE SEE THE PROSPECTUS QUANTITY INCLUDES FRACTIONAL SHARES		Net Amount	$6,654.00

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY -7 AM 11:36

JOSEPH R. SKEEN
(Full Name)

2302 RAYBURN HOB
WASHINGTON, D.C. 20515
(Mailing Address)

(202)225-2365
Daytime Telephone

HAND DELIVERED

HC
(Office Use Only)

7

Filer Status	[X] Member of the U.S. House of Representatives	State NM District 02	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions. (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Joseph R. Skeen

DATE (Month/Day/Year): 5/6/98

3857

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JOSEPH R. SKEEN

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E
SP	SP Mega Corp Stock					X								X										X								P
DC	*Examples* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
JT	#7 DEBORAH DR. - Ros., NM					X									X										X							
	(5%) OIL&GAS WORKING, INT,		X											Oil & Gas Sales								X										
	Savings-Wright Patman Fed. Cred. Union			X										X									X									
JT	Real Estate-Ruidoso,NM			X										Undeveloped Property (Not Income Producing)																		

For additional assets and unearned income, use next page.

3858

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOSEPH R. SKEEN

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
JT	Real Estate-6-Mile Hill Roswell,NM	C: $1,001 – $15,000	Undeveloped Property (Not Income Producing)		
JT	Farm Credit Services Stock	B: $1 – $1,000	INTEREST	I: None	
	Common STock-Norwest Bank	B: $1 – $1,000	DIVIDENDS	III: $201 – $1,000	
S	Common STock-Bristol Myers	C: $1,001 – $15,000	DIVIDENDS	II: $1 – $200	
S	Common Stock-Unc.Res., Inc.	A: None	CAPITAL GAINS	III: $201 – $1,000	S
S	Common Stock-Pan-Amer.	A: None	DIVIDENDS	I: None	Abandoned
S	Common Stock-Sea Gull Energy	A: None	DIVIDENDS	II: $1 – $200	
JT	Prod. Credit Assoc.-Stock	C: $1,001 – $15,000	INTEREST	II: $1 – $200	
JT	Ranch to include-15,000 acres,land,improvmts., &livestock. (58% Holding) Picacho, NM-Lincoln, County	I: $1,000,001 – $5,000,000	Ranch Income	I: None (Net Loss	IX: $100,001 – $1,000,000 (gross)
	Hartford Variable Annunity(Paine-Webber) Tax Deferred	D: $15,001 – $50,000	No-Income Tax Deferred		

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3859

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOSEPH R. SKEEN

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Common STock - Allied Capitol-Comm. Corp.	C X	DIVIDENDS X	III X	
	Common Stock-Mutual Funds - Euro-Pacific Fund	D X	DIVIDENDS X; CAPITAL GAINS X	V X Reinvested	
	Common Stock-Mutual Funds Fundamental Investors	D X	DIVIDENDS X; CAPITAL GAINS X	V X Reinvested	
	Merrill-Lynch Ready Assets Trust	C X	DIVIDENDS X	II X	P

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3860

SCHEDULE IV — TRANSACTIONS

Name JOSEPH R. SKEEN

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10–12–97		X								
	Merrill Lynch Ready Assets Trust	X			1-15-97	X									

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3861

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
JT	FARM CREDIT SERVICES - ROS., NM	Mortgage on Ranch Picacho,NM-Lincoln,Cty					X					
JT	Roswell EScrow Co.#7 Deborah Dr. Ros. Real Estate	Mortgage on Roswell Property	X									
JT	Norwest Bank -Ros.,NM-Bank Acct.	Operating Expenses for Ranch		X								
JT	Production Credit Assoc.-Ros.,NM	Operating Expenses for Ranch										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Burlington Ind., Fact Finding Tour of Wool Processing Plane	4-14-97	Wash.,D.C.-Raeford,NC-Clarksville,VA-Wash.,D.C.	N	Y	N	N
	Klamath Alliance For Resources & Environment Fact Finding-Educational Tour - Re:Federal Land and Forest Issues	5-2/4-97	Wash., D.C.-McCloud,CA-Wash., D.C.	Y	Y	N	N
	SPOUSE ONLY Mary Skeen-New Mexico State University-Council Member Council for Agriculture Research Extension & Training(CARET)	11-13/16-97	Roswell,NM - Wash.,D.C.- Roswell, NM	Y	Y	N	N

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

JOSEPH R. SKEEN
(Full Name)

2302 RAYBURN HOB
(Mailing Address)

WASHINGTON, D.C. 20515

Daytime Telephone (202)225-2365

Filer Status: [X] Member of the U.S. House of Representatives — State NM District 02 — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [X] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Joe Skeen

DATE (Month/Day/Year): 5/19/98

3864

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St., Dover, Del*				X						
JT	FARM CREDIT SERVICES - ROS., NM	Mortgage on Ranch Picacho,NM-Lincoln,Cty					X					
JT	Roswell EScrow Co.Real Estate #7 Deborah Dr._Ros.	Mortgage on Roswell Property	X									
JT	Norwest Bank -Ros.,NM-Bank Acct.	Operating Expenses for Ranch		X								
JT	Production Credit Assoc.-Ros.,NM	Operating Expenses for Ranch		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

3865

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Ike Skelton
(Full Name)

2227 Rayburn House Building
(Mailing Address)

Washington DC 20515

Daytime Telephone 202/225-2876

NC (Office Use Only) (7)

Filer Status	[X] Member of the U.S. House of Representatives	State MO District 04	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report, may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Ike Skelton

DATE (Month/Day/Year): 5/14/98

3866

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see instructions, pages 12-13.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Missouri State Retirement System	State Senate - 6 years	$6230.00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC JT	*Examples* SP Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
SP	Trust, Virginia B. Anding Estate, United Missouri Bank, Kansas City, MO. Assets United Missouri Bank Common Stock Fund, United Missouri Bank Common Tax Exempt Fund, United Missouri Bank Taxable Fixed Income Fund. Total Assets:	$250,001 - $500,000	Dividends, Interest	$5,001 - $15,000	NA
	Trust, Carolyn B. Skelton Estate, Commerce Bank, Kansas City, MO. Assets Commerce Bank Tax Free Bond Funds, Commerce Bank Institutional Liquid Assets Tax-Exempt. Total Assets:	$100,001 - $250,000	Dividends, Interest	$2,501 - $5,000	NA
SP	Sun Oil Company, mineral rights, UST&T Omyx Energy Company (formerly Sun Oil Company)	None - $1,000	Rent	$201 - $1,000	NA

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	Fractional Interest in Store Building, Delhi, LA	None - $1,000		None - $200	NA
JT	Note & Contract for sale to Lafayette County Bankshares Inc , Lafayette County Bank, Lexington, MO ($105,840 00 over 10 years)	$50,001 - $100,000	Interest	$2,501 - $5,000	NA
JT	Lafayette County Bankshares** Interest+Principle Paid/Due 1) Bryce Quarter Horses **formerly included in Note and Contract Sale **Indicated 6 3% Joint Ownership of total asset Susie Skelton 1 6% + Ike Skelton 4 7%	$1,001 - $15,000	Interest+principle	$201 - $1,000	NA
JT	Congressional Federal Credit Union, Certificate of Deposit, Washington, DC	$1,001 - $15,000	Interest	None - $200	NA
JT	Lexington Building & Loan Assoc, Certificate of Deposit, Lexington, MO	$1,001 - $15,000	Interest	None - $200	NA
JT	Lexington Building & Loan Assoc, Certificate of Deposit, Lexington, MO	$1,001 - $15,000	Interest	None - $200	NA
JT	Lexington Building & Loan Assoc, Certificate of Deposit, Lexington, MO	None - $1,000	Interest	None - $200	NA
JT	Bank Midwest, Certificate of Deposit, Lexington, MO (formerly Commerce Bank of Lexington)	None - $1,000	Interest	None - $200	NA
JT	Boatmen's River Valley Bank, Certificate of Deposit, Lexington, MO	$1,001 - $15,000	Interest	None - $200	NA
JT	Lafayette County Bank, Certificate of Deposit, Lexington, MO	None - $1,000	Interest	None - $200	NA

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,J	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
JT	Lafayette County Bank, Lexington, MO	Open Note	$15,001 - $50,000
JT	Congressional Federal Credit Union, Washington, DC	Personal Loan	$10,001 - $15,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense; and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. **Exclude:** Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure–Destination–Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Sigma Chi Foundation	8/7/97	Grain Valley, MO - Manhatten, KS	N	Y		no

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Trustee	Ike Skelton Sr. Memorial Trial Practice Award (University of Missouri School of Law)
Trustee	Ike Skelton Sr. Outstanding Junior Sigma Chi Award (Xi Xi Chapter University of Missouri)

3872

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Louise McIntosh Slaughter
(Full Name)

2347 RHOB, Washington, DC 20515
(Mailing Address)

202-225-3615
Daytime Telephone

Filer Status	☒ Member of the U.S. House of Representatives	State NY District 28	☐ Officer or Employee	Employing Office
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Louise M. Slaughter

DATE (Month/Day/Year): May 5, 1998

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of New York	Pension for State Assembly Service	$ 7,264.00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E
SP, DC, JT	Examples: SP Mega Corp Stock					X								X										X								P S E P
	Examples: Simon & Schuster		Indefinite																	Royalties								X				
	Examples: 1st Bank of Paducah KY accounts						X									X									X							
	Procter and Gamble Stock						X							X										X								
	Clorox Stock			X										X										X								
JT	Oppenheimer Growth Fund A			X										X			X			—					X							
JT	Fidelity Money Mkt Savings					X								X						—				X								
JT	Travelers Stock			X										X											X							

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Louise M Slaughter

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Marine Midland Savings		X													X						X									
JT	Congressional Federal Credit Union			X												X						X									
	Retirement Accounts																N/A								N/A						
	IRA - Fidelity Growth + Inc			X																											
	IRA - Fidelity Rtmt Growth				X																										
	IRA - Vanguard Trustees Equity					X																									
S	IRA - Fidelity Growth + Income							X																							
S	IRA - Fidelity Rtmt Growth				X																										
S	IRA - Mutual Qualified						X																								
S	IRA - Fidelity Magellan					X																									
S	IRA - Fidelity Growth Co Fund					X																									
S	401K - Eastman Kodak Savings Investment Plan							X																							

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	The Aspen Institute	Feb 14-17	Wash., DC - Palm Beach, FL - Wash., DC	Y	Y	Y	N
	College of St. Mary	March 9, 10	Wash., DC - Omaha - Wash., DC	Y	Y	N	N
	Congressional Study Group on Germany	3/22 - 3/28	Wash., DC - Germany - Wash., DC	Y	Y	Y	N
	Womens Leadership Conference	4/11 - 4/13	Wash., DC - Dartmouth (NH) - Wash., DC	Y	Y	Y	N
	Business and Professional Women/USA	7/19 - 7/21	Wash., DC - KY - Wash DC	Y	N	N	N
	American Jewish Conference	11/3	Wash., DC - NYC - Wash., DC	N	N	N	N
	The Philosophical Society of Texas	12/5 - 12/7	Wash., DC - TX - Wash., DC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES

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INSIDE MAIL
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Adam Smith
(Full Name)

1505 Longworth House Office Building
Washington, DC 20515
(Mailing Address)

(202) 225-8901
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State Washington District 9th	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

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SIGNATURE OF REPORTING INDIVIDUAL Adam Smith

DATE (Month/Day/Year) 4/5/99

3878

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Washington State Senate, Olympia, Washington	Deferred compensation 12/25/96 – 1/2/97	$1,576
	Law Office of William D. Hochberg, Edmonds, Washington	Spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B												Block C							Block D											Block E
		A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								P
DC,	*Examples* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	Washington Mutual, Checking			X												X						X										
JT	Wash. Mutual, Money Market				X											X							X									
JT	MFS Total Return A, Mutual			X										X			X						X									P (ongoing)
JT	Washington St. Retirement			X												X								NA								

For additional assets and unearned income, use next page.

3880

SCHEDULE IV — TRANSACTIONS

Name Adam Smith

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10/12/97		X								
JT	MFS Total Return A Mutual Fund	X			Monthly 1/97-8/97	X									

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3881

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
SP	Sallie Mae, Kansas City, MO	Law school student loan		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

3882

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	New Democratic Network	Aug. 10-12	Seattle-San Francisco-Seattle	Y	Y	Y	N

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3883

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Board Member (uncompensated)	Judson Park Retirement Home – Des Moines, Washington

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46–260 (mac)

Use additional sheets if more space is required.

RECEIVED

98 MAY 15 PM 5:40

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

CHRISTOPHER H. SMITH
(Full Name)

74 Tynemouth Court, Robbinsville, New Jersey 08691-9354
(Mailing Address)

Daytime Telephone
202-225-3765

HAND DELIVERED (7)

MC (Office Use Only)

Filer Status [X] Member of the U.S. House of Representatives — State New Jersey District 4th — [ ] Officer or Employee — Employing Office

Report Type [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive unearned income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions. (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL Christopher H. Smith — DATE (Month/Day/Year) May 15, 1998

3885

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash D C	Speech	Feb 2, 1997	$2,000
XYZ Magazine	Article	Aug 13, 1997	$500
St. Thomas More Cathedral Men's Council	Speech	Apr. 13, 1997	$100.00

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3886

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	$15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Mega Corp Stock					X								X										X								P
DC, *Examples*	Simon & Schuster			Indefinite																Royalties								X				
JT	1st Bank of Paducah KY accounts						X									X										X						
	Janus Mutual Funds PO Box 173375 Denver, CO 80217																															
	T. Rowe Price PO Box 89000 Baltimore, MD 21289																															
JT	Janus Money Market			X										X									X									E
JT	Janus Mutual Fund			X										X			X						X									E

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CHRISTOPHER H. SMITH, M.C. | Page 4 of 7

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	T. Rowe Price Money Market					X								X									X									P,S
JT	T. Rowe Price, NJ Bond				X									X								X										P
JT	T. Rowe Price, U.S. Treasury Bond				X									X								X										P
JT	Janus Money Market			X										X								X										P,S
JT	Janus Mutual Fund			X										X			X						X									P,S
JT	T. Rowe Price Money Market	X														X							X									P,S
JT	T. Rowe Price, NJ Bond				X									X								X										P
JT	T. Rowe Price, U.S. Treasury Bond				X									X								X										P
DC	Janus Money Market			X										X								X										
DC	Janus Money Market			X										X								X										
DC	Janus Money Market			X										X								X										
DC	Janus Money Market			X										X								X										
DC	T. Rowe Price Money Market			X										X								X										P
DC	T. Rowe Price Money Market			X										X								X										P
DC	T. Rowe Price Money Market			X										X								X										P
DC	T. Rowe Price Money Market			X										X								X										P
DC	Certificate of Accrual Treasury Securities			X												X							X									S
DC	" " "			X												X							X									
DC	" " "			X												X							X									
DC	" " "			X												X							X									
JT	Congressional Federal Credit Union			X												X						X										

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3888

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	x			10–12–97		x								
JT	Janus Mutual Fund Equity Income	X			4-1-97	X									
JT	Janus Mutual Fund Equity Income		X		6-30-97	X									
JT	T. Rowe Price Money Market	X			9-24-97			X							
JT	T. Rowe Price, NJ Bond	X			12-15-97		X								
JT	T. Rowe Price, U.S. Treasury Bond	X			12-15-97		X								
JT	T. Rowe Price Money Market		X		12-15-97			X							
DC	T. Rowe Price Money Market	X			9-24-97	X									
DC	T. Rowe Price Money Market	X			9-24-97	X									
DC	T. Rowe Price Money Market	X			9-24-97	X									
DC	T. Rowe Price Money Market	X			9-24-97	X									
DC	Certificate of Accrual Treasury Securities		X		11-21-97	X									

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3889

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342), travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Right to Life Committee of New Mexico	Apr.18-19	Wash., DC - Albuquerque - Wash., DC	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors	Americans United for Life Legal Defense Fund
Member, Advisory Board	The Susan Breast Cancer Fund

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

CHRISTOPHER H. SMITH
4TH DISTRICT, NEW JERSEY

WASHINGTON OFFICE
2370 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515-3004
202-225-3765

CONSTITUENT SERVICE CENTERS
1540 KUSER ROAD
SUITE 49
HAMILTON, NJ 08619-3828
(609) 585-7878
TTY (609) 585-3650

100 LACEY ROAD
SUITE 38A
WHITING, NJ 08759-1331
(908) 350-2700

98 MAY 22 PM 3:40

HAND DELIVERED

Congress of the United States
House of Representatives
Washington, DC 20515–3004

COMMITTEES
INTERNATIONAL RELATIONS
CHAIRMAN—INTERNATIONAL OPERATIONS AND HUMAN RIGHTS
WESTERN HEMISPHERE AFFAIRS

VETERANS' AFFAIRS
VICE CHAIRMAN
HOSPITALS AND HEALTH CARE

COMMISSION ON SECURITY AND COOPERATION IN EUROPE
CO-CHAIRMAN

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COMMITTEE ON STANDARDS

May 20, 1998

2
MC

Committee on Standards of Official Conduct
U.S. House of Representatives
Suite HT-2 Capitol
Washington, D.C. 20515-6328

Dear Sir or Madam:

Please note that on Schedule III of my 1998 Financial Disclosure Statement, two items were listed twice, when they obviously should have been listed only once. Accordingly, please find attached a revised Schedule III.

Thank you for your assistance in this matter.

Sincerely,

CHRISTOPHER H. SMITH
Member of Congress

PRINTED ON RECYCLED PAPER

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CHRISTOPHER H. SMITH,M.C.

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	T. Rowe Price Money Market					X								X									X									P,S
JT	T. Rowe Price, NJ Bond				X									X								X										P
JT	T. Rowe Price, U.S. Treasury Bond				X									X								X										P
JT	Janus Money Market			X										X								X										P,S
JT	Janus Mutual Fund			X										X			X						X									P,S
JT	T. Rowe Price Money Market	X														X							X									P,S
DC	Janus Money Market			X										X								X										
DC	Janus Money Market			X										X								X										
DC	Janus Money Market			X										X								X										
DC	Janus Money Market			X										X								X										
DC	T. Rowe Price Money Market			X										X								X										P
DC	T. Rowe Price Money Market			X										X								X										P
DC	T. Rowe Price Money Market			X										X								X										P
DC	T. Rowe Price Money Market			X										X								X										P
DC	Certificate of Accrual Treasury Securities			X												X							X									S
DC	" " "			X												X							X									
DC	" " "			X												X							X									
DC	" " "			X												X							X									
JT	Congressional Federal Credit Union			X												X						X										

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3893

98 MAY 15 AM 11:01

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Lamar Seeligson Smith
(Full Name)

2231 Rayburn House Office Building
(Mailing Address)

202 225-4236
Daytime Telephone

HAND DELIVERED
MC
(Office Use Only)

(9)

Filer Status	[X] Member of the U.S. House of Representatives	State TEXAS District 21st	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Lamar Smith

DATE (Month/Day/Year): May 13, 1998

3894

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
The First Church of Christ Scientist, Boston, Massachusetts	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example Partnership Income or Farm Income)	Block D: None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	Block E: P, S, E
SP	Mega Corp Stock					X								X									X									P
DC, Examples	Simon & Schuster			Indefinite																Royalties								X				
JT	1st Bank of Paducah, KY accounts						X									X									X							
	Life Tenant, undivided (25%) surface and mineral interest of Lamar Seeligson Ranch, Premont, TX.								X											Royalties							X					
	Partnership Interest, Lamar Seeligson Ranch				X										X											X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Lamar Smith

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
	Wright Patman Federal Credit Union			X												X							X									
	19 Warren Street, Barnstable County, MA						X								X											X						
	Signet Bank			X												X							X									
	*Holdings owned by Dependent Children																															
	Life Tenant, Dividends Only													X											X							
DC	Daily U.S. Treasury Money Fund*			X										NA								NONE										
DC	Abbott Laboratories *			X										NA								NONE										
DC	Allied Signal*			X										NA								NONE										
DC	British Pete *			X										NA								NONE										
DC	General Electric Co *			X										NA								NONE										
DC	Noble Affiliates *			X										NA								NONE										
DC	Pepsico Inc. *				X									NA								NONE										
DC	Sysco Corp *			X										NA								NONE										
DC	Walmart *			X										NA								NONE										
DC	Security Capital Pacific Trust*			X										NA								NONE										
DC	United Dominion Rlty. Tr. *			X										NA								NONE										
DC	Weingarten Rlty. *			X										NA								NONE										
DC	Oak Forest *				X									NA								NONE										
DC	USTA--Joint Venture *				X									NA								NONE										
	315 Cleveland Court San Antonio, Texas						X								X						part year					X						

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
DC	Abbott Laboratories		X		2-5-97	X									
DC	Pepsico Inc.		X		4-14-97		X								
DC	Pepsico Inc.		X		7-31-97	X									
DC	Pepsico Inc.		X		9-12-97	X									
DC	Pepsico Inc.		X		11-17-97		X								
DC	Allied Signal Inc.		X		7-28-97	X									
DC	Molex Inc.		X		7-28-97	X									
DC	SySCO Corp.		X		7-28-97	X									
DC	Weingarten Rlty.		X		9-12-97	X									

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Name	Lamar Smith	Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	NA											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NA		

Use additional sheets if more space is required.

3900

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	NONE						

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise; any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Partner	Lamar Seeligson Ranch

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NONE	

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
99 MAY 15 AM 8:54
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
INSIDE MAIL
MC (5)
(Office Use Only)

Linda A. Smith
(Full Name)

10009 NW Ridgecrest Ave
Vancouver, WA 98685
(Mailing Address)

Daytime Telephone 202-225-3536

Filer Status: [✓] Member of the U.S. House of Representatives — State WA District 3 [ ] Officer or Employee — Employing Office

Report Type: [✓] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [✓] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [✓]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [✓] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [ ] No [✓]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [✓] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [✓]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [✓] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [ ] No [✓]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [✓]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Linda A. Smith

DATE (Month/Day/Year): 5-14-98

3903

Name Linda A. Smith	Page 1 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Burlington Northern Sante Fe	spouse salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Linda A. Smith | Page 2 of 4

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 - $1,000	C $1,001 - $15,000	E $15,001 - $50,000	F $50,001 - $100,000	G $100,001 - $250,000	H $250,001 - $500,000	I $500,001 - $1,000,000	J $1,000,001 - $5,000,000	K $5,000,001 - $25,000,000	L $25,000,001 - $50,000,000	Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	Block D: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E: P/S/E
SP	SP / Mega Corp. Stock				X									X										X								P
DC, JT	Examples: Simon & Schuster			indefinite																Royalties						X			X			
JT	1st Bank of Paducah, KY account					X										X										X						
JT	1900 '2' St, Vancouver WA				X										X											X						
SP	Burling Northern Santa Fe Stock			X										X								X										
JT	Columbia Credit Union				X											X							X									

For additional assets and unearned income, use next page.

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Washington Mutual Bank Seattle, WA	Mortgage on 1900 "Z" St		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives; gifts of personal hospitality of an individual; local meals; and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note. The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

3906

Name LINDA A. SMITH | Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U S C § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C – Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	ASPEN INSTITUTE	MARCH 7-9, 1997	DC → Hershey, PA → DC.	Y	Y	Y	N
	CY PRESS COMMUNITY CHURCH	OCT 11-13, 1997	SEATTLE, WA → SAN FRANCISCO → PORTLAND, OR	Y	N	N	N
	ASSEMBLIES OF GOD-NATIONAL EDUCATORS CONFERENCE	AUG 4-6, 1997	PORTLAND, OR → INDIANAPOLIS → SEATTLE, WA	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

NICK SMITH
(Full Name)

12780 ADDISON ROAD
(Mailing Address)

ADDISON MI 49220

202-225-6276
Daytime Telephone

MC HAND DELIVERED (6)
(Office Use Only)

Filer Status	[X] Member of the U S House of Representatives	State MICH District 07	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Nick Smith

DATE (Month/Day/Year): 5/12/97

3908

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	STATE OF MICHIGAN	PENSION	36,398

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A: Asset and/or Income Source	Block B: None	A: $1 – $1,000	B: $1,001 – $15,000	C: $15,001 – $50,000	E: $50,001 – $100,000	F: $100,001 – $250,000	G: $250,001 – $500,000	H: $500,001 – $1,000,000	I: $1,000,001 – $5,000,000	J: $5,000,001 – $25,000,000	K: $25,000,001 – $50,000,000	L: Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	Block D: None	I: $1 – $200	II: $201 – $1,000	III: $1,001 – $2,500	IV: $2,501 – $5,000	V: $5,001 – $15,000	VI: $15,001 – $50,000	VII: $50,001 – $100,000	VIII: $100,001 – $1,000,000	IX: $1,000,001 – $5,000,000	X: Over $5,000,000	XI	Block E: P, S, E
SP, DC, JT — *Examples* — SP — Mega Corp Stock					X								X										X									P
Simon & Schuster			Indefinite																Royalties									X				
1st Bank of Paducah, KY accounts						X									X										X							
SOCIETY BANK ADDISON				X											X							X										
SOCIETY BANK - FARM ACT				X											X							X										
MERRILL LYNCH IRA				X									X			X				X												
MERRILL LYNCH IRA				X									X			X				X												
EATON VANCE TRUST				X									X		X	X						X										
CONG FED CREDIT UNION				X											X							X										

For additional assets and unearned income, use next page.

3910

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name NICK SMITH

Page 4 of 6

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	A.G. EDWARDS - CASH MGMT					X										X								X								
	(included in AG EDWARDS is short term paper and sh holding of MUNI SEC INC TRUST at $8,500)																															
	BYRON PUBLIC SCH BOND				X											X								X								
	OLD KENT FIN'L CORP					X								X		X								X								
	CITIZEN BANKING CP MI				X									X		X								X								
	KELLOGG COMPANY			X										X		X	X						X									
	EMERSON ELECTRIC			X										X		X	X					X										
	CALIF PROPTY (ANTELOPE VALLEY)			X											VACANT LOT						X											
	AMERICAN INTL GP				X									X		X	X					X										
	BANK ONE CORP			X										X		X	X					X										
	BRISTOL MEYERS				X									X		X	X					X										
	HJ HEINZ				X									X		X	X					X										
	FARM. ADDISON, MI									X					FARMING														X		(gross)	
	ditto														FARMING							X	(net)									
	IBM				X									X								X										P
	MOTOROLA INC			X										X								X										
	TCI COMMUNICATIONS				X									X								X										
	CONSUMERS ENERGY				X									X								X										
	CAPRA MUTUAL FUND						X																				X					P
	JANUS MUTUAL FUND					X																				X						P
	CENDANT CORP			X										X									X									P

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SCHEDULE IV — TRANSACTIONS

Name Nick SMITH

SP DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	CAPRA MUTUAL FUND	X			1-15-97				X						
	JANUS MUTUAL FUND	X			1-15-97			X							
	IBM	X			5-28-97		X								
	CENDANT CORP	X			8-8-97	X									

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3912

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
	n/a

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
1/5/93	State [illegible]	[illegible] of health care [illegible]

Use additional sheets if more space is required

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES

HAND DELIVERED
(Office Use Only)

7

Robert F. Smith
(Full Name)

1301 Longworth House Office Building
(Mailing Address)

Washington DC 20515
Daytime Telephone 202-225-2171

Filer Status: [X] Member of the U.S. House of Representatives — State OR District 02 — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS-Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION-Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Robert F. Smith

DATE (Month/Day/Year): May 12, 1998

3914

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC *Examples:* SP 123 Main St., Dover, Del. JT 1st Bank of Paducah, KY accounts				
Mega Corp. Stock	$15,001 - $50,000	Dividends	$201 - $1,000	P
	$250,001 - $500,000	Rent	$1,001 - $2,500	
	$50,001 - $100,000	Interest	$5,001 - $15,000	
Approximately 9000 acres of ranchland, Harney County, Burns OR	$500,001 - $1,000,000	Rent	$15,001 - $50,000	
Commercial Building, 484 North Broadway, Burns, OR 97720	$50,001 - $100,000	Rent	$5,001 - $15,000	
Commercial Building, 458 North Broadway, Burns, OR 97720	$50,001 - $100,000	Rent	$5,001 - $15,000	
U.S. Bancorp, Bank Account, Medford 97504	$1,001 - $15,000	Interest	$1,001 - $2,500	
Sale of Smith West Co. Stock	None	Proceeds of Sale	$2,501 - $5,000	S

3915

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Promissory Note from Christopher Smith, Medford, OR	$1,001 - $15,000	xxx	None	xxx

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000 Include transactions that resulted in a loss Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out For further information, see Instructions, pages 20-21

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Smith West Co Stock	Sold	1/1/97	$1,001 - $15,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Northwest Farm Credit Services, Agricultural Credit Association, Redmond, OR 97756	Mortgage on approximately 9000 acres ranchland, Burns, OR 97504	$100,001 - $250,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
National Cattleman's Association	1/29 - 1/31	Miami, FL - Kansas City, KS - Medford, OR	Y	Y	N	N
U.S. Sugar Beet Association	2/13 - 2/16	Wash., D.C. - Tucson, AZ - Wash., D.C.	Y	Y	Y	N
American Crop Protection Association	2/21 - 2/24	Medford, OR - Palm Springs, CA - Medford, OR	Y	Y	Y	N
American Meat Institute	3/14 - 3/16	Wash., D.C. - Palm Beach, FL - Wash., D.C.	Y	Y	Y	N
Brown and Williamson Corp	8/11 - 8/31	Medford, OR - London - Wash., D.C.	Y	Y	Y	8/15 - 8/31
American Crop Protection	9/26 - 9/28	Wash., D.C. - White Sulphur Springs, WV - Wash., D.C.	Y	Y	Y	N

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Organization
Member, Board of Trustees	Willamette University

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U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

VINCENT K. SNOWBARGER
(Full Name)

1451 E. ORLEANS DRIVE, OLATHE, KS 66062 (202) 225-2865
(Mailing Address) Daytime Telephone

HAND DELIVERED (6)
MC
(Office Use Only)

Filer Status ☒ Member of the U.S. House of Representatives — State ____ District ____ ☐ Officer or Employee — Employing Office ____

Report Type ☐ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL Vincent K. Snowbarger — DATE (Month/Day/Year) 5-13-98

3921

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
STATE OF KANSAS	Final legislative salary	$900
U.S.D. 233, OLATHE DISTRICT SCHOOLS, OLATHE, KS	SPOUSE	N/A
LAKELAND TOURS, CHARLOTTESVILLE, VA	SPOUSE	N/A

For payments to charity in lieu of honoraria, use Schedule II.

3922

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E
SP	SP Mega Corp. Stock					X								X										X								P
DC	*Examples* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah KY accounts						X									X									X							
	Vincent K. Snowberger, P.A. Profit Sharing - Edward Jones Co.					X								X		X	X							X								

For additional assets and unearned income, use next page.

Name VINCENT K. SNOWBARGER | Page 4 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	NATIONSBANK, OLATHE, KS	CREDIT LINE	X									
JT	FBS CREDIT, FARGO, ND	Revolving charge	X									
JT	SALLIE MAE	Son's student loans		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives; gifts of personal hospitality of an individual; local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	American Jewish Committee - Project Interchange	Aug. 16-24	Kansas City - Tel Aviv - Kansas City	Y	Y	Y	N
	HERITAGE FOUNDATION - New Member Orientation	Jan. 9-11	WASHINGTON, D.C. - Chantilly, VA - WASHINGTON, D.C.	Y	Y	N	N
	ASPEN INSTITUTE	Mar. 7-9	Washington, D.C. - Hershey, PA - Washington, D.C.	Y	Y	Y	N

This page may be copied if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Board Member	MidAmerica Nazarene University Foundation, OLATHE, KS

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

VINCE SNOWBARGER
3RD DISTRICT, KANSAS
ASSISTANT MAJORITY WHIP
509 CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-2865
Rep.Snowbarger@mail.house.gov
http://www.house.gov/snowbarger/

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BANKING COMMITTEE
CAPITAL MARKETS, SECURITIES AND GOVERNMENT SPONSORED ENTERPRISES SUBCOMMITTEE
GOVERNMENT REFORM AND OVERSIGHT COMMITTEE
VICE CHAIRMAN
HUMAN RESOURCES AND INTERGOVERNMENTAL RELATIONS SUBCOMMITTEE
NATIONAL ECONOMIC GROWTH, NATURAL RESOURCES AND REGULATORY AFFAIRS SUBCOMMITTEE
CENSUS SUBCOMMITTEE
SMALL BUSINESS COMMITTEE
TAX, FINANCE AND EXPORTS SUBCOMMITTEE

Congress of the United States
House of Representatives

June 4, 1998

(2)

MC

The Honorable Robin H. Carle
Clerk of the House of Representatives
Legislative Resource Center
B-106 Cannon House Office Building

Dear Ms. Carle:

In reviewing my 1997 Financial Disclosure Form, I discovered that I had failed to disclose two assets on Schedule III.

Please accept the attached amended form and replace the erroneous one with this amended Schedule III.

Thank you.

Sincerely,

Vince Snowbarger

Vince Snowbarger
Member of Congress

bjm

Enclosures (3)

DISTRICT OFFICES:
176 FEDERAL BUILDING
500 STATE AVENUE
KANSAS CITY, KS 66101
(913) 621-0832
8826 SANTA FE DRIVE
SUITE 350
OVERLAND PARK, KS 66212
(913) 383-2013
647 MASSACHUSETTS
SUITE 207
LAWRENCE, KS 66044
(785) 842-9313
MIAMI COUNTY
(913) 294-4122

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source		A None	B $1 - $1,000	C $1,001 - $15,000	$15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Transaction (P, S, E)
SP	Examples	SP					X								X										X							P
DC					Indefinite																Royalties									X		
JT								X									X										X					
	Vincent K. Snowbarger, P.A. Profit Sharing - Edward Jones Co.						X								X		X	X								X						
	Kansas Public Employees Retirement System					X											X								N	A						
SP	Kansas Public Employees Retirement System						X										X								N	A						

For additional assets and unearned income, use next page.

3928

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
CLERK'S OFFICE
98 MAY 13 AM 11:37
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Victor Frederick SNYDER
(Full Name)

1319 Longworth H.O.B.
Washington D.C. 20515
(Mailing Address)

1-202-225-2506
Daytime Telephone

INSIDE MAIL
(Office Use Only)

9

Filer Status	[X] Member of the U.S. House of Representatives	State District AR 2	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [ ] No [X]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report, may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Snyder

DATE (Month/Day/Year): 5/10/98

3929

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Columbia Family Clinic - Little Rock, ARK	Medical Doctor Services	1224.

For payments to charity in lieu of honoraria, use Schedule II.

Name Vic Snyder | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Vic Snyder

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property, or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Transaction
SP	Mega Corp. Stock					X								X										X								P, S, E
DC	Examples: Simon & Schuster			Indefinite																Royalties									X			P
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Founders Frontier Fund (IRA)			X				$12,758													NA						CIRA					
	20th Century - Heritage Fund				X			$16,057						X			X							X								P
	20th Century Vista Fund			X				$8,258									X						X									
	Invesco - Europe Fund - IRA			X				$8,030													NA						(IRA)					P
	Vanguard - Index 500 (SEP-IRA)	X			Sep 2, 1997 - Exchanged for Index Total - SEP IRA																NA						(IRA)					E 9/2/97
	Vanguard - Index Total (SEP-IRA)				X			$23,432													NA						CIRA					P 9/2/97

For additional assets and unearned income, use next page.

3932

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Vic Snyder

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
	Vanguard-Index Total Fund	D: $41,960	DIVIDENDS; CAPITAL GAINS	IV: NA (IRA)	P
	Montgomery Growth Fund	C: $8,562	DIVIDENDS; CAPITAL GAINS	IV: NA (IRA)	P
	Montgomery Emerg Mkts Fund (IRA)	C: $8723			
	Janus Venture Fund	D: $18,369	DIVIDENDS; CAPITAL GAINS	V: NA (IRA)	P
	T. Rowe Price New Asia Fund	C: $9,304	DIVIDENDS	II: NA (IRA)	P
	T. Rowe Price Europe Fund	C: $9,570	DIVIDENDS; CAPITAL GAINS	III: NA (IRA)	●
	Scudder Latin Amer Fund	C: $4,341	DIVIDENDS; INTEREST; CAPITAL GAINS	III: NA (IRA)	
	Vanguard Money Mkt-Treasury	C: $3,168	INTEREST	III: NA (IRA)	
	U.S. Treasury Notes	D: $20,000	INTEREST	III: NA (IRA); Interest $660	P
	Nations Checking	C: $6,670	INTEREST	II: NA (IRA)	
	Amer. Century Cash Reserve	C: $1,490	INTEREST	II: NA (IRA)	
	VALIC-Stock Index Annuity	D: $20,685	Other Type of Income (Specify): NA (Retirement Annuity)		

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child or the purchase or sale of your personal residence unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	US Treasury Notes	X			12/31/97	X				$5,000 note					
	US Treasury Note	X			8/15/97	X				$5,000 note					
	Janus Venture Fund	X			monthly automatic investment	X		Dividend / Cap Gain Reinvestment							
	Vanguard Index-Total	X			monthly automatic investment	X		Dividend / Cap Gain Reinvestment							
	Montgomery Growth	X			monthly automatic investment	X		Dividend / Cap Gain Reinvestment							
	20th Century - Heritage Fund	X			12/19/97	X		Dividend / Cap Gain Reinvestment							
	Vanguard Index 500 - SEP IRA			X	9/2/97	X		Index-500 closed and							
	Vanguard Index Total - SEP IRA	X			9/2/97	X		invested in Index-Total							
	T. Rowe Price - New Asia	X			monthly	X		Monthly Automatic Investment							
	Invesco - Europe Fund (IRA)	X			4/8/97	X		IRA Purchase							

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	None											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note. The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C. - Los Angeles—Cleveland	Y	Y	Y	4 Days
	None						

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
	None

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	None	

Use additional sheets if more space is required

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

'98 MAY 14 PM 1:25

Congressman Gerald B.H. Solomon
(Full Name)
2206 Rayburn HOB
Washington, D.C. 20515
(Mailing Address)
(202) 225-5614
Daytime Telephone

HAND DELIVERED
(Office Use Only)

Filer Status: [X] Member of the U.S. House of Representatives — State New York District 22nd; [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15); [ ] Amendment; [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have earned income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability more than $10,000 during the reporting period? **If yes, complete and attach Schedule V**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS – Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION – Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: [signature]

DATE (Month/Day/Year): 5/14/98

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Name Gerald B.H. Solomon	Page . of

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Owen Davies	Spouse - Real Estate	NA
New York State Retirement Income	Retirement Income	3,451.56

For payments to charity in lieu of honoraria, use Schedule II

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Name Gerald B.H. Solomon	Page of

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Gerald B.H. Solomon | Page of

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: None	A: $1 – $1,000	B: $1,001 – $15,000	C: $15,001 – $50,000	E: $50,001 – $100,000	F: $100,001 – $250,000	G: $250,001 – $500,000	H: $500,001 – $1,000,000	I: $1,000,001 – $5,000,000	J: $5,000,001 – $25,000,000	K: $25,000,001 – $50,000,000	L: Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	I: $1 – $200	II: $201 – $1,000	III: $1,001 – $2,500	IV: $2,501 – $5,000	V: $5,001 – $15,000	VI: $15,001 – $50,000	VII: $50,001 – $100,000	VIII: $100,001 – $1,000,000	IX: $1,000,001 – $5,000,000	X: Over $5,000,000	XI	Block E: P, S, E
SP	Mega Corp. Stock					X								X											X								P
DC	Examples: Simon & Schuster			Indefinite																Royalties										X			S
JT	1st Bank of Paducah KY accounts						X									X										X							E
	Wright-Patman Federal Credit Union – Washington, D.C.			X												X							X										
	Glens Falls National Bank – Glens Falls, NY				X											X								X									
	Arrow Bank (was Glens Falls Natl. Bank) – Glens Falls, NY			X										X									X										
	Trustco Bank – Glens Falls, NY				X											X								X									
	Albany Savings Bank Stock Glens Falls, NY					X								X											X								
	Nuveen Money Market Tax-Exempt Stock			X										X									X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gerald B.H. Solomon | Page of

SP. DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Smith Barney Shearson Money Market Stock			X										X									X								
	Second Home Rental Income Lake Placid, NY						X								X											X					
	General Electric Inc. Stock				X									X									X								
	General Electric Inc. Stock			X										X									X								Purchase
	Coca Cola Inc.			X										X									X								
	U.S. Treasury Notes					X										X								X							Sold
	AMGEN Inc.			X										X										X							Purchase
	Cisco Inc.			X										X										X							Purchase
	Monsanto Inc.			X										X										X							Purchase
	Travelers Inc.			X										X										X							Purchase
	UTS Dow Inc.	[redacted]		X										X									X								Purchase
	Nations Bank Inc.	[redacted]		X										X									X								Purchase
	AMGEN Inc.	[redacted]		X										X									X								Purchase
	Monsanto Inc.	[redacted]		X										X									X								Purchase

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SCHEDULE IV — TRANSACTIONS

Name Gerald B.H. Solomon | Page of

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	U.S. Treasury Notes		X		2/4/97		X								
	AMGEN Inc.	X			2/4/97	X									
	Cisco Inc.	X			2/4/97	X									
	Monsanto Inc.	X			2/4/97	X									
	Travelers Inc.	X			2/4/97	X									
	UtS Dow Inc.	X			2/4/97	X									
	Nations Bank Inc.	X			2/4/97	X									
	AMGEN Inc.	X			2/4/97	X									
	Monsanto Inc.	X			2/4/97	X									
	General Electric Inc.	X			2/4/97	X									

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Name Gerald B.H. Solomon | Page of

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B	C	D	E	F	G	H	I	J	K
			$10,001–$15,000	$15,001–$50,000	$50,001–$100,000	$100,001–$250,000	$250,001–$500,000	$500,001–$1,000,000	$1,000,001–$5,000,000	$5,000,001–$25,000,000	$25,000,001–$50,000,000	Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Bank United	Mortgage (Lake George, NY)			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives; gifts of personal hospitality of an individual; local meals; and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name Gerald B.H. Solomon | Page of

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
None							

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Name Gerald B.H. Solomon	Page of

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Board Member	Gerald B.H. Solomon Freedom Foundation Inc. (not for profit)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

OPC 1228 (6-90) (7-91)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Mark E. Souder
(Full Name)

2427 Windsong Court
Fort Wayne, IN 46804
(Mailing Address)

Daytime Telephone: 202-225-4436 DC office

Filer Status: [X] Member of the U.S. House of Representatives — State: IN, District: 4th; [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15); [ ] Amendment; [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions. (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Mark E. Souder

DATE (Month/Day/Year): 5-13-98

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples.	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Historic Souder's of Grabill	Guaranteed payment to partner	$925
	Diane K. Souder - Consultant of Discovery Toys	Spouse proprietorship	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Mark E. Souder

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	$1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								P
DC	Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah KY accounts						X									X										X						
	Partnership interest																															
	1. Souder's General Store					x								Partnership income							x											
	Activity - General Store Retail Sales																															
	Assets - Building, Inventory, Equipment & Fixtures																															
	Percentage ownership - 50.5%																															

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Mark E. Souder

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
	2. Historic Souder's of Grabill Partnership Interest Activity - Real estate rental Assets - Buildings, Furnishings & Equipment Percentage ownership - 25%					x								Partnership income											x							
SP	3. Certificate of Deposit Grabill Bank			x												x								x								
	4. Certificate of Deposit Grabill Bank			x												x							x									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child Mark the highest amount owed during the year **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000 [1]

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St , Dover, Del				x						
	Grabill Bank, Grabill, Indiana	Mortgage - Historic Souder's of Grabill - Real Estate Location - Grabill, IN Ownership % - 25%	x									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule

Source	Description	Value
Example Mr Joseph H Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U S C § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D.C.—Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Leadership Institute	March 22 - 23	Fort Wayne - Tuscon, AZ - Fort Wayne	Y	Y	Y	N
	American Israel Education Foundation	Jan 9 - 17	Wash. DC - Israel - Wash DC	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Director	Our Country Home, Inc.
Managing Partner	Historic Souder's of Grabill
Managing Partner	Souder's General Store

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	N/A	

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 14 PM 3:55

FLOYD DAVIDSON SPENCE
(Full Name)

2405 RAYBURN HOUSE OFFICE BUILDING
(Mailing Address)

(202) 225-2452
Daytime Telephone

WASHINGTON, DC 20515

HAND DELIVERED (10)
MC
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State South Carolina District 2nd	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [X]	No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Floyd Davidson Spence

DATE (Month/Day/Year): 5/13/98

3954

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	STATE OF SOUTH CAROLINA	Legislative Pension	$ 10,796

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
FEDERAL BUDGET CONSULTING GROUP: A. BURSON MARSTELLAR CO.	Speech	June 17, 1997	$ 2,000

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Name FLOYD DAVIDSON SPENCE

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp Stock					X								X																		P
DC	*Examples* Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah KY accounts						X									X									X							
	Carolina First Bldg. Lexington, SC									X					X													X				
	Carolina First Bldg. Georgetown, SC								X						X												X					
	Advanced Auto Bldg. Irmo, SC								X						X												X					
	Advanced Auto Bldg. Beaufort, SC								X						X												X					
	100 Shares of Spence Plantation, Inc.	X												X													X					Final Lots of real estate dev. sold.
	Wright Patman Federal Credit Union			X												X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name FLOYD DAVIDSON SPENCE

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
JT	Branch Bank & Trust 64.838+-Acres Real Estate, Lexington, SC	B: $1 - $1,000; J: $5,000,001 - $25,000,000	INTEREST: X; RENT: N/A	I: $1 - $200; IV: $1,001 - $2,500	
	National Financial Center, Thrift Savings	C: $1,001 - $15,000	INTEREST: X	IV: $1,001 - $2,500	
SP	Branch Bank & Trust, Checking A/C	C: $1,001 - $15,000	INTEREST: X	I: $1 - $200	
SP	Branch Bank & Trust, Checking A/C	B: $1 - $1,000	INTEREST: X	I: $1 - $200	
JT	Branch Bank & Trust, Checking A/C	B: $1 - $1,000	INTEREST: X	I: $1 - $200	
JT	(Carolina First Checking A/C)	D: $15,001 - $50,000	INTEREST: X	I: $1 - $200	
JT	Carolina First Checking A/C	B: $1 - $1,000	INTEREST: X	I: $1 - $200	
JT	Wachovia, Checking A/C	B: $1 - $1,000	INTEREST: X	I: $1 - $200	
	Monro Muffler Brake, Inc. Bldg., Orangeburg, SC	H: $500,001 - $1,000,000	DIVIDENDS: X	VII: $15,001 - $50,000	
SP	1.28 Acres/House; Lexington, SC	D: $15,001 - $50,000	RENT: N/A	IV: $1,001 - $2,500	

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SCHEDULE IV — TRANSACTIONS

Name FLOYD DAVIDSON SPENCE

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	1.28 Acres/House, Lexington, SC	X			09-17-97		X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Wachovia, Lexington, SC	Mortgage on Advanced Auto Stores						X				
	Wachovia, Lexington, SC	Mortgage on Carolina First Bldg, Lexington, SC						X				
	Wright Patman Congressional FCU	Personal - Unsecured	X									
	Carolina First, Lexington, SC	Lake Murray, 112 Acres - Lexington, SC				X						
	Branch Bank & Trust, Lexington, SC	Mortgage - Lake Murray, Lexington, SC			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A	N/A	N/A

Use additional sheets if more space is required.

3960

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Wachovia, Lexington, SC	Mortgage - Monro Muffler Brake Bldg.				X						
	Wachovia, Lexington, SC	Unsecured				X						
	Palmetto Federal Savings & Loan, Lexington, SC	Unsecured			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A	N/A	N/A

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6-13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	STATE GUARD OF THE U.S.	Oct.18-19	Columbia - Nashville - Columbia	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	Spence Plantation, Inc. (Uncompensated)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1970	STATE OF SOUTH CAROLINA RETIREMENT SYSTEM	Pension

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

98 MAY 15 AM 10: 22

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Deborah Ann Stabenow
(Full Name)

2709 S. Deerfield Ave.
Lansing, Michigan 48911
(Mailing Address)

(202) 225-4872
Daytime Telephone

MAY 14 1998

MC
(Office Use Only)

5

Filer Status	☒ Member of the U.S. House of Representatives — State Michigan District 8	☐ Officer or Employee — Employing Office	
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Deborah A. Stabenow

DATE (Month/Day/Year): May 11, 1998

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Name Deborah A. Stabenow | Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; E $15,001 – $50,000; F $50,001 – $100,000; G $100,001 – $250,000; H $250,001 – $500,000; I $500,001 – $1,000,000; J $1,000,001 – $5,000,000; K $5,000,001 – $25,000,000; L $25,000,001 – $50,000,000; Over $50,000,000)	Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income))	Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Transaction (P, S, E, P)
SP	Mega Corp Stock	E	DIVIDENDS	IV	P
DC	Simon & Schuster	Indefinite	Royalties	IX	
JT	1st Bank of Paducah KY accounts	F	INTEREST	VI	
	State of Michigan 401K - through Fidelity Investments:				
	50% Equity Income Fund	E	DIVIDENDS	VI	
	50% Megellan Fund	E	DIVIDENDS	VI	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Deborah A. Stabenow

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P S E
	State of Michigan Deferred Comp. 457			X												X					N.A.											
	Kemper Money Market Fund			X												X							X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	New Democrat Network	Aug 10-12	Lansing, MI—San Francisco—Lansing, MI	Y	Y	N	N

This page may be copied if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Board member	Friends of Child Abuse and Neglect Prevention, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
1/1/95	Michigan Legislative Retirement System	participation in the Michigan Legislative Retirement health program

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

3968

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UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997	Form A For use by Members, officers, and employees

Fortney Pete Stark
(Full Name)

239 Cannon
(Mailing Address)

Washington DC 20515

Daytime Telephone 202-225-5065

MC (9)
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State CA District 13	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report, may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Pete Stark

DATE (Month/Day/Year): 4/13/98

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SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Deborah R. Stark, Consulting fees	Spouse Fees	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package For further information, see Instructions, pages 13-14

Source	Activity	Date	Amount
Examples Association of American Associations, Wash , D C	Speech	Feb 2, 1994	$2,000
XYZ Magazine	Article	Aug 13, 1994	$500
Delta Dental, Oakbrook, Ill	Speech	4/23/97	$2,000 00
Amer Medical Group Assn ,Seal Beach, CA	Speech	7/25/97	$2,000 00
GA Allian Community Hosp Atlanta< GA	Speech	10/22/97	$500 00
Home HealthLine, Rockville, MD	Speech	12/12/97	$1,000 00

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC *Examples* JT	SP Mega Corp. Stock SP 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
JT	Rental House 2nd St.,SE, Wash.,DC	$250,001 - $500,000	Rent	$15,001 - $50,000	
	Aardolic Oil Partnership, Texas	$1 - $1,000	Royalty	$1 - $200	
SP	Chas. Schwab, CMA	$50,001 - $100,000	Interest	$1,001 - $2,500	
JT	Note from Stark Investment Co.,LP	$250,001 - $500,000	Interest	$15,001 - $50,000	
SP	Chateau Properties	$1,001 - $15,000	Dividends	$201 - $1,000	P
SP	Felcor Ste Hotel	$1,001 - $15,000	Dividends	$201 - $1,000	P
SP	LTC Properties	$1,001 - $15,000	Dividends	$201 - $1,000	P

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	Pacific Gulf Properties	$1,001 - $15,000	Dividends	$201 - $1,000	P
SP	Starbucks	$1,001 - $15,000	Dividends	None	P
SP	Vangaurd Growth Index Fund	$15,001 - $50,000	Dividends	$201 - $1,000	P
DC	Dodge&Cpx Stock Fund	$1,001 - $15,000	Dividends	$201 - $1,000	P
DC	20th Century Gift Trust Fund	$1,001 - $15,000	Dividends	$201 - $1,000	
DC	Federal Realty Trust	$1,001 - $15,000	Dividends	$201 - $1,000	P
	**Asset of Stark Investment Co ,LP (44%)	None	Partnership	None	
	**Multi-Tennant Warehouse, Littlefield Dr , South San Francisco, CA	$5,000,001 - $25,000,000	Rent	$100,001 - $1,000,000	
	**Richey Oil Co , Texas	$15,001 - $50,000	Royalty	$5,001 - $15,000	
	**ElDorado Indus Park (land) Stockton, CA	None	Vacant	None	
	**Whitney Development Co , Lafayette, CA	None	Misc	None	
	**Damson Oil Co , Texas	None	Royalty	None	
	**Note from J P Stark	$15,001 - $50,000	Interest	None	

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	Ghateau Properties	Purchase	1/28/97	$1,001 - $15,000
SP	Felcor Ste Hotels	Purchase	1/28/97	$1,001 - $15,000
SP	LTC Properties	Purchase	1/28/97	$1,001 - $15,000
SP	Pacific Gulf Properties	Purchase	1/28/97	$1,001 - $15,000
SP	Starbucks	Purchase	1/28/97	$1,001 - $15,000
SP	Vangaurd Growth Index Fund	Purchase	1/28/97	$1,001 - $15,000
DC	Dodge&Cox Stock Fund	Purchase	1/28/97	$1,001 - $15,000
DC	Federal Realty Trust	Purchase	1/28/97	$1,001 - $15,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
JT	Virginia First SavingsBank	Mortgage on 2nd St , SE Wash , DC	$100,001 - $250,000
JT	NationBank, MD	Mortgage on 2nd St , SE Wash , DC	$50,001 - $100,000
	RMA Partners	Judgement	$500,001 - $1,000,000
	** Indicate Obligations of Stark Investment Co , LP (44% Owned)	**	$5,000,001 - $25,000,000
	** Confederation Life Ins, Co	Mtg on S San Francisco Warehouse	$5,000,001 - $25,000,000
	** Bernard Luchfield	Note	$15,001 - $50,000
	**Fremont Bank, CA	Note	$100,001 - $250,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Aspen Institute	Feb 14-18	DC>Palm Beach FL>DC	Y	Y	Y	1
Aspen Institute	Mar 24-Apr 6	SFO>Lanai HI>SFO	Y	Y	Y	8

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
President and Director	Stark Investment Co ,Inc , Fremont, CA
President and Director	Pete Stark Foundation, Fremont,CA

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Clifford B Stearns
(Full Name)

2352 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone 202-225-5744

HAND DELIVERED (14)
(Office Use Only)

Filer Status					
	[X] Member of the U S House of Representatives	State FL District 06	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment		[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS-Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U.S.C 1001)

SIGNATURE OF REPORTING INDIVIDUAL: Clifford B Stearns

DATE (Month/Day/Year): May 14, 1998

3978

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Central Florida Community College	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see Instructions, pages 13-14.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1994	$2,000
	XYZ Magazine	Article	Aug. 13, 1994	$500
	Edison Electric Institute, Washington, D.C	Speech	April 16, 1997	$500.00
	CAP 12, Washington, DC	Speech	Sept. 10, 1997	$500.00

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC *Examples* SP JT	Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Barnett Bank, Ocala Fl	$1,001 - $15,000	Interest	$1 - $200	NA
	Congress Federal Credit Union	$1,001 - $15,000	Interest	$1 - $200	NA
	T. Rowe Price Equity Index	$1,001 - $15,000	Capital Gains and Dividends	$2,501 - $5,000	P & S
	T. Rowe Price GNMA	None	Capital Gains and Dividends	$1 - $200	S
	T. Rowe Price Media & Telecom	$1,001 - $15,000	Capital Gains	$201 - $1,000	P
	T. Rowe Price New Horizons	$1,001 - $15,000	Capital Gains and Dividends	None	P & S
	T. Rowe Price Emerging Markets Bond	$1,001 - $15,000	Capital Gains and Dividends	None	P & S
	T. Rowe Price High Yield	$1,001 - $15,000	Dividends	$201 - $1,000	P

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

T. Rowe Price Spectrum Income	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
T. Rowe Price Summit Cash Reserves	$1,001 - $15,000	Dividends	$1,001 - $2,500	P & S
Dean Witter Liquid Asset Fund	$15,001 - $50,000	Dividends	$1,001 - $2,500	NA
American Express Company	$1 - $1,000	Dividends	$1 - $200	P (< $1,000)
Harris Corporation	$1 - $1,000	Dividends	$1 - $200	P (< $1,000)
Chrysler Corporation	$1 - $1,000	Dividends	$1 - $200	P (< $1,000)
Exxon Corporation	$1 - $1,000	Dividends	$1 - $200	P (< $1,000)
Keycorp	$1 - $1,000	Dividends	$1 - $200	P (< $1,000)
Vanguard Asset Allocation Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P (< $1,000)
McDonalds Corp	$1 - $1,000	Dividends	None	NA
The Coca Cola Company	$1,001 - $15,000	Dividends	$1 - $200	NA
IBM, Inc.	$1,001 - $15,000	Dividends	$1 - $200	P (< $1,000)
Trust Under the Will of Emily Stearns for the Sole Benefit of the Children of Clifford B. Stearns:	None	na	None	NA
Suntrust Bank	$1,001 - $15,000	Interest	$1 - $200	NA
Dean Witter Liquid Asset Fund	$15,001 - $50,000	Dividends	$201 - $1,000	NA
U.S. Treasury Note	$15,001 - $50,000	Interest	$2,501 - $5,000	NA
AT&T Bonds	$1,001 - $15,000	Interest	$201 - $1,000	NA
Keycorp Stock	$15,001 - $50,000	Dividends	$201 - $1,000	NA
T. Rowe Price New Income	None	Capital Gains and Dividends	$201 - $1,000	S
T. Rowe Price High Yield	$1,001 - $15,000	Dividends	$201 - $1,000	NA
T. Rowe Price GNMA	None	Capital Gains and Dividends	$201 - $1,000	S

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

T. Rowe Price Equity Index	$15,001 - $50,000	Capital Gains and Dividends	$201 - $1,000	P
T. Rowe Price Mid-Cap Growth	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	P (< $1,000)
T. Rowe Price Spectrum Growth	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
T. Rowe Price Spectrum Income Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
T. Rowe Price Science & Tech	$1,001 - $15,000	Capital Gains	$201 - $1,000	NA
T. Rowe Price Dividend Grwth Fund	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
T. Rowe Price Emerging Mkt Bond	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
T. Rowe Price Prime Reserve Money	$1,001 - $15,000	Dividends	$201 - $1,000	NA
Vanguard Star Fund	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	NA
71.70% Interest, Silver Springs Inn, Ltd., a Partnership, Silver Springs, FL (cash, mtg receivable, loan costs, and debt)	$100,001 - $250,000	Interest (Gross)	$15,001 - $50,000	NA
(Silver Springs Inn, Ltd. cont'd)	None	Memo Int. (Net of Int. Exp.)	$15,001 - $50,000	NA
(Silver Springs Inn, Ltd. cont'd)	None	Capital Gains and Dividends	$5,001 - $15,000	NA
53.34% Interest, Rock Creek, Ltd., a Partnership, Silver Springs, FL (cash, and mtg. receivable)	$50,001 - $100,000	Interest (Gross)	$5,001 - $15,000	NA
(Rock Creek Ltd. cont'd)	None	Memo Int. (Net of Int. Exp.)	$5,001 - $15,000	NA
(Rock Creek Ltd. cont'd)	None	Capital Gains	$201 - $1,000	NA
38.05% Interest, Potomac Park, Inc., an S Corp, Silver Springs, FL (cash, mtg receivable, and debt)	$1 - $1,000	Interest (Gross)	$15,001 - $50,000	NA
(Potomac Park, Inc. cont'd)	None	Memo Int. (Net of Int. Exp.)	$1 - $200	NA
(Potomac Park, Inc. cont'd)	None	Capital Gains	$201 - $1,000	NA
(Potomac Park, Inc. cont'd)	None	Ordinary Income from S Corp	$1 - $200	NA

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

100% Interest, First Silver Springs, Inc., a C Corporation, Silver Springs, FL (cash, mtg. receivable, other receivables, investments, and debt)	$500,001 - $1,000,000	NA	None	NA
100% Interest, Stearns House, Inc , an S Corp, Silver Springs, FL (cash, furniture, and debt)	$15,001 - $50,000	Dividends	$1,001 - $2,500	NA
(Stearns House, Inc cont'd)	None	Ordinary Income from S Corp	$5,001 - $15,000	NA
Rental Building (Restaurant), 5545 E Silver Springs Blvd , Silver Springs, FL	$250,001 - $500,000	Rent (Gross)	$5,001 - $15,000	NA
(Rental Building cont'd)	None	Memo Rent (Net of Exp)	$1,001 - $2,500	NA
Rental Building (Office), 2950 N E 55th Ave , Silver Springs, FL	$50,001 - $100,000	Rent (Gross)	$5,001 - $15,000	NA
(Rental Building cont'd)	None	Memo Rent (Net of Exp)	$2,501 - $5,000	NA
Mortgage Receivable, Shri Natjhi, Inc , Silver Springs, FL (sale of triplex) Note The entire sale was reported in a preceding year The proportionate gain on the mortgage principal collection is reported this year	$50,001 - $100,000	Interest	$5,001 - $15,000	NA
(Mortgage Receivable, Shri Natjhi, Inc cont'd)	None	Capital Gains	$1,001 - $2,500	NA
Note Receivable, Silver Springs Inn, Ltd , Silver Springs, Fl	$50,001 - $100,000	Interest	$5,001 - $15,000	NA
Loan Receivable, Potomac Park, Inc , Silver Springs, FL	$1,001 - $15,000	Interest	None	NA
SunTrust, Ocala, FL	$1,001 - $15,000	NA	None	NA
Dean Witter Reynolds, Ocala, FL (IRA) (Money Mkt Funds)	$1 - $1,000	Dividends	$1 - $200	NA

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Dean Witter Reynolds, Ocala, FL (IRA) (Mutual Funds) Note: This IRA was incorrectly reported in the preceding year as being held by SunTrust Bank. It was transferred to Dean Witter in 1996.	$15,001 - $50,000	Capital Gains and Dividends	$2,501 - $5,000	NA
	Dean Witter Reynolds, Ocala, FL (IRA) (Money Mkt Funds & Gov't Securities) Note: This IRA was incorrectly reported in the preceding year as being held by SunTrust Bank. It was transferred to Dean Witter in 1996	$15,001 - $50,000	Dividends and Interest	$1,001 - $2,500	NA
	T. Rowe Price Mid-Cap Growth	None	Capital Gains	$1,001 - $2,500	S
	T. Rowe Price Spectrum Growth	None	Capital Gains	$201 - $1,000	S

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	T. Rowe Price Equity Index	Sold	03/31/97	$15,001 - $50,000
	T. Rowe Price GNMA	Sold	02/20/97	$1,001 - $15,000
	T. Rowe Price New Horizons	Sold	03/31/97	$1,001 - $15,000
	T. Rowe Price Mid-Cap Growth	Sold	03/31/97	$1,001 - $15,000
	T. Rowe Price Spectrum Growth	Sold	03/31/97	$1,001 - $15,000
	T. Rowe Price Emerging Markets Bond	Sold	03/31/97	$1,001 - $15,000
	T. Rowe Price Equity Index	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000
	T. Rowe Price Media & Telecom	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000
	T. Rowe Price New Horizons	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000
	T. Rowe Price Emerging Markets Bond	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	T. Rowe Price High Yield	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000
	T. Rowe Price Spectrum Income	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000
	T. Rowe Price Summit Cash Reserves	Purchase	Multiple purchases with dividend reinvestments	$50,001 - $100,000
	T. Rowe Price Summit Cash Reserves	Sold	Multiple	$15,001 - $50,000
	Emily Stearns Trust: T. Rowe Price New Income Fund	Sold	02/21/97	$1,001 - $15,000
	Emily Stearns Trust: T. Rowe Price GNMA	Sold	02/21/97	$1,001 - $15,000
	Emily Stearns Trust: T. Rowe Price Dividend Growth	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000
	Emily Stearns Trust: T. Rowe Price Equity Index	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000
	Emily Stearns Trust: T. Rowe Price Spectrum Growth	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example. Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Emily Stearns Trust T. Rowe Price Emerging Markets Bond	Purchase	Multiple purchases with dividend and capital gain reinvestments	$1,001 - $15,000
	Emily Stearns Trust T Rowe Price Spectrum Income	Purchase	Multiple purchases with dividend and capital gain reinvestmenst	$1,001 - $15,000

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SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	SunTrust Bank, Ocala, FL	Mortgage on Restaurant, Silver Springs, FL	$15,001 - $50,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
The Awakening '97, Sea Island, GA - Speech	Jan 3-5	Ocala-Sea Island-Ocala	Y	Y	Y	N
Orlando '97 Day With Congress in Florida, Orlando, FL-Speech	Feb 13-14	Washington, D.C.-Orlando-Washington, D.C.	Y	Y	N	N
U.S. Telephone Assn., Key Biscayne, FL-Speech	Feb 14-16	Orlando-Miami-Orlando	Y	Y	N	N
National Security Council Caucus Foundation, Mexico City, Mexico-Fact Finding	Mar 6-9	Washington, D.C.-Mexico City-Washington, D.C.	Y	Y	N	N
MCI Classic, Hilton Head, S.C.-Speech	Apr 17-18	Washington, D.C.-Hilton Head-Orlando	Y	Y	N	N
Judicial Conference on Courts & Challenges of Genetic Testing-Speech	June 30 - July 3	Washington, D.C.-Orleans, Mass.-Washington, D.C.	Y	Y	Y	N
Paxon Communications, West Palm Beach, FL-Speech	Oct 12-13	Orlando-West Palm Beach-Orlando	Y	Y	N	N
Economic Security Game, New York City, NY-Speech	Oct 24-25	Washington, D.C.-New York City-Washington, D.C.	Y	Y	N	N

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States For further information, see Instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Organization
General & Limited Partner	Silver Springs Inn, Ltd
General & Limited Partner	Rock Creek Park, Ltd
President	Potomac Park, Inc.
President	First Silver Springs, Inc
President	Stearns House, Inc

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(Office Use Only)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Charles W. Stenholm
(Full Name)

1211 Longworth HOB
(Mailing Address)

Washington DC 20515

Daytime Telephone 202-225-6605

Filer Status	[X] Member of the U.S. House of Representatives	State TX District 17	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [X] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C.1001).

SIGNATURE OF REPORTING INDIVIDUAL Charles W. Stenholm

DATE (Month/Day/Year) 5-13-98

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Altomar, Inc	Spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

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SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package For further information, see Instructions, pages 13-14

	Source	Activity	Date	Amount
Examples	Association of American Associations Wash , D C	Speech	Feb 2, 1994	$2,000
	XYZ Magazine	Article	Aug 13 1994	$500
	Washington Campus, Wash , D C	Speech	3/11/97	$500 00
	Monsanto Leadership Training Conf , Wash , D C	Speech	3/12/97	$1,000 00
	The Connell Co , Westfield, N J	Speech	4/14/97	$2,000 00
	Washington Campus, Wash , D C	Speech	4/15/97	$500 00
	American Rental Assoc , Arlington, Va	Speech	4/28/97	$500 00
	Washington Campus, Wash , D C	Speech	5/20/97	$500 00
	Amer Council on Education, Wash , D C	Speech	6/4/97	$1,000 00
	Washington Campus, Wash , D C	Speech	6/10/97	$500 00
	Washington Campus, Wash , D C	Speech	7/15/97	$200 00
	N W Texas Hospital Assoc , Abilene, Tx	Speech	7/18/97	$1,000 00
	Washington Campus, Wash , D C	Speech	7/24/97	$500 00
	Washington Campus, Wash , D C	Speech	9/17/97	$500 00
	Washington Campus, Wash , D C	Speech	10/8/97	$500 00
	Washington Campus, Wash , D C	Speech	10/28/97	$500 00

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20.	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC *Examples* JT	SP Mega Corp Stock SP 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
JT	Independent Bank Shares	$1,001 - $15,000	Dividends	$1 - $200	NA
JT	Ericksdahl Co-Op gin	$1,001 - $15,000	Dividends	None	NA
JT	Jones-Haskell Grain Co-Op	$1,001 - $15,000	Dividends	None	NA
JT	Stamford Electric Co-Op	$1,001 - $15,000	Dividends	None	NA
JT	Plains Cotton Co-Op	$1,001 - $15,000	Dividends	$201 - $1,000	NA
JT	Rolling Plains CoOp Compress	$1,001 - $15,000	Dividends	$1 - $200	NA
JT	S&S Feeders-50% Partnership	$1 - $1,000	Dividends	None	NA
JT	Ok Oil & Gas Lmt Partnership	$1,001 - $15,000	Oil & Gas royalties	$1 - $200	NA

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

JT	Ok Oil & Gas Lmt Partnership	$1,001 - $15,000	Oil & Gas royalties	$1 - $200	NA
SP	Dessa Carmen Watson estate (see p 12)	$100,001 - $250,000	Ordinary income	$15,001 - $50,000	NA
JT	First State Bank, Stamford, Tx	$1,001 - $15,000	Interest	$1 - $200	NA
JT	First Va Bank, Arlington, Va	$1,001 - $15,000	Interest	$1 - $200	NA
JT	Cong Fed Credit Union	$1,001 - $15,000	Interest	$1 - $200	NA
JT	8300 John Deere tractor	$50,001 - $100,000	Lease	$15,001 - $50,000	NA
JT	1997 Buick LeSabre	$15,001 - $50,000	Ordinary income	$5,001 - $15,000	E
JT	1998 Chevy Blazer	$15,001 - $50,000	Ordinary income	$1 - $200	NA
JT	401 K House of Rep thrift savings plan	$15,001 - $50,000	Interest	$2,501 - $5,000	NA
JT	IRA Amer Express Trust Co	$50,001 - $100,000	Interest	$5,001 - $15,000	bought out Inv Divers \
JT	840 acres-Jones Cty, Tex	$250,001 - $500,000	Rent,ag pgm,ordinary inc,other		NA
	(farmland, buildings, equipment)	None	see below	See below	NA
	Rent	None	Rent	$15,001 - $50,000	NA
	USDA	None	Ag prgm payment-CCC	$2,501 - $5,000	NA
JT	Double S Farms,Inc (50% stock)	$50,001 - $100,000	Dividends	None	NA
SP	75 acres Wheeler County, Tx.	$15,001 - $50,000	Ag program, minerals	None	NA
	USDA		Ag program	$1,001 - $2,500	NA
	Minerals		Oil & Gas Royalties	$5,001 - $15,000	NA
JT	S&S Enterprises 40.5 acres-Jones Cty, Tx.	$15,001 - $50,000	Ordinary income	$1 - $200	NA
JT	Residence	$250,001 - $500,000	Residence sold	$100,001 - $1,000,000	S
JT	Residence	$100,001 - $250,000	Residence purchased	None	P

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SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
JT	Home-Arlington, Va	Sold	May, 1997	$250,001 - $500,000
JT	Home-Abilene, Tex	Purchase	May, 1997	$100,001 - $250,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year
Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
JT	First Nat Bank,Sweetwater,Tx	Business-OkOil&Gas Ltd Partnership	$15,001 - $50,000
JT	Fed Land Bank - Haskell,Tx	Business-farmland 40.5 acres, Jones Cty., Tex	$15,001 - $50,000
JT	Equitable AgriBusiness,Inc	Business-farm-840 acres, Jones Cty., Tex	$50,001 - $100,000
JT	Rolling Plains PCA,Stamfd,Tx	Business-farm-general farm operations	$50,001 - $100,000
JT	Double S Farms, Inc	Business-farm-general farm operations	$15,001 - $50,000
JT	First State Bank, Stamford	Business-farm Tractor-8300 John Deere	$15,001 - $50,000
JT	Chase Advantage Credit	Personal-home improvements	$10,001 - $15,000
JT	Chase Manhattan, New York	Residence	$100,001 - $250,000

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SCHEDULE VI -- GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold

Note: The gift rule (House Rule 52 in the 104th Congress, renumbered as House Rule 51 of the 105th Congress) prohibits gifts except as specifically provided in the rule

For further information, see Instructions, pages 22-24

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270
None		

Name Charles W Stenholm	Page of

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Nat. Cattlemen's Beef Assoc	1/30-31/97	Wash.,D.C.-Kansas City-Abil.,Tx	Y	Y	N	None
Nat. Assoc. of Farmer-Elected Committeemen	2/1-2/97	SanAntonio-Dallas	Y	Y	N	None
Nat. Cotton Council	2/9-10/97	Wash.-Orlando,Wash.	Y	Y	N	None
Amer. Physical Therapy Assoc	2/14-15/97	Stamford,Tx.-Dallas-Stamford	Y	Y	Y	None
Nat. Farmers Union	2/28-3/1/97	Wash.-Nashville-Wash.	Y	Y	N	None
Aspen Institute(bipartisan retreat)	3/7-9/97	Wash.-Hershey,Pa.-Wash.	Y	Y	Y	None
The Connell Co.	4/14/97	Wash.-Westfield,N.J.-Wash.	N	Y	N	None
Farm Credit Bank of Tex.	4/10-11/97	Dallas-San Antonio-Abil.	Y	Y	N	None
Amer. Sugar Alliance	8/2-6/97	Wash.-Bozeman,Mt.-Abil.	Y	Y	Y	One day
DannyThompsonMem. Golf T.	8/20-24	Abil.-SunValley-Salt Lake City	N	N	Y	Member paid Travel Lodging Food
Families Foundation Charity Golf	8/24-27	SunValley-Midway,Utah-Abil.	N	N	Y	Member paid " "
Tx. Soil & Water Conserv. Bd.	10/14/97	Dallas-HarlingenDallas	N	Y	N	None
Chem. Specialties Manuf. Assoc.	12/6-8/97	Dallas-Ft. Lauderdale-Dallas	Y	Y	N	None

4000

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
President	Double S Farms
Partner	S & S Feeders
Partner	S & S Enterprises

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26-27

Date	Parties To	Terms of Agreement
	None	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME (continued from page 5)

Additional information on Cynthia Ann Stenholm (spouse) - Dessa Carmen Watson estate

Fixed common trust funds, NCNB, Abilene	$15,000 - 50,000
Equity common trust funds, NCNB, Abilene	15,000 - 50,000
Money market trust funds, NCNB, Abilene	1,000 - 15,000
1/4 interest lot 27, Block 1, Stamford, Tx.	1,000 - 15,000
1/6 interest Vaugnn & Jett Survey, TaylorCty,Tx	50,001 - 100,000
Mineral assets, Wheeler Cty,Tx.	100,001 - 250,000

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
98 MAY 13 PM 4:49
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
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MCL
(Office Use Only)

Louis Stokes
(Full Name)

2365 Rayburn House Office Building
(Mailing Address)
Washington DC 20515

Daytime Telephone
202-225-7032

Filer Status					
	[X]	Member of the U S House of Representatives	State OH District 11	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment		[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [ ] No [X]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [X] No [ ]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C. app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5/13/98

4004

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Long & Foster Realtors, Bethesda, Md	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP, DC, JT *Examples* SP Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
Wright-Patman Congressional	$15,001 - $50,000	Interest	$201 - $1,000	NA
Citizens Bank of Maryland	$1,001 - $15,000	Interest	$1 - $200	NA
3611 Chelton Road, Shaker Heights, Ohio	$50,001 - $100,000	Rent	$5,001 - $15,000	NA

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Leader Mortgage Co., Cleveland, Ohio	Morgage on 3611 Chelton Rd., Shaker Heights, Ohio	$15,001 - $50,000
	Sears Financial Corp	Mortgage on 3611 chelton Rd., Shaker Heights, Ohio	$15,001 - $50,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Central State University	October 13	Wash,DC-New Orleans, La-Wash,DC	N	Y	N	None
Friends of Freedom Society	October 17	Wash,DC-Columbus, Oh-Wash,DC	N	Y	N	None
Crown Club of Mt. Sinai Consistory	November 29	Wash,DC-Warwick, R.I-Wash, DC	Y	Y	N	None

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Trustee	The Martin Luther King, Jr. Center for Social Change
Board Member	Congressional Black Caucus Foundation
Chairman of the Board	Black Elected Democrats of Cleveland, Ohio (BEDCO)

4010

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Ted Strickland (Full Name)
P.O. Box 580 (Mailing Address)
Lucasville, Oh 45648
Daytime Telephone 202-225-5705

Filer Status	[✓] Member of the U.S. House of Representatives — State OH District 6	[ ] Officer or Employee	Employing Office
Report Type	[✓] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [✓]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [✓]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [✓]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [ ]	No [✓]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V**	Yes [ ]	No [✓]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [✓]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [✓]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [✓]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [✓]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS– Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [✓]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [✓]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL Ted Strickland **DATE** (Month/Day/Year) May 3, 1998

Name	Page 2 of 8
Ted Strickland	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. House of Representatives		
	Smith Educational Enterprises, Inc.	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash. D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	BLOCK A		A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E P, S, E
SP	Mega Corp. Stock	SP					X								X										X								P
DC	Examples: Simon & Schuster			Indefinite													X				Royalties									X			
JT	1st Bank of Paducah KY accounts							X																		X							
JT	National City Bank				X										DEPOSITS IN SAVING ACCT.		X					X											
	National City Bank (IRA)					X											X					NA											

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name Ted Strickland | Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	NONE														

This page may be copied if more space is required.

Name Ted Strickland | Page 4 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
NONE							

This page may be copied if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
NONE	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

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Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

BOB STUMP
(Full Name)
211 Cannon House Office Building
(Mailing Address)
Washington, D.C. 20515
Daytime Telephone
202-225-4576

Filer Status: [XX] Member of the U.S. House of Representatives — State District: Arizona Third — [ ] Officer or Employee — Employing Office

Report Type: [XX] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	XX	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**		XX
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	XX	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**		XX
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V**		XX
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**		XX
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**		XX
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	XX	
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**		XX

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?		XX
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?		XX

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5/14/98

4018

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Stump Farms ***This is an estimate. I have an extension, and have not yet filed my 1997 income taxes.	Farm Income	$25,000***

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 - $1,000	C $1,001 - $15,000	$15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	Block D: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E
SP							X							X										X								
DC	*Examples*	Indefinite																		Royalties									X			P
JT							X									X										X						
	Stump Farms								X												X											
	Bank One AZ Accts, Tolleson				X											X								X								
	First Federal Credit Union Accts - Phoenix, AZ			X												X						X										
	Wright Patman Congressional Federal Credit Union						X									X								X								
	Life Ins: Union Bankers Ins.				X											X							X									

For additional assets and unearned income, use next page

4020

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name BOB STUMP

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E.
	Stock: County Bank			X										X							X											
	American Airlines						X							X							X											
	Tenneco			X										X							X											
	Delta Airlines				X									X							X											
	Federal Resources		X											X							X											
	T. G. Shaw Properties		X											X							X											
	IRAs: Seligman Comm & Info																															
	Fund/Prudential Bacho																															
	America West Airlines			X										X							X											
	Northgate Exploration		X											X							X											
	Money Mart Assets			X												X						X										

This page may be copied if more space is required

4021

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
Owner	Stump Farms

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
LEGISLATIVE RESOURCE CENTER
98 MAY 14 PM 3:02
CLERK
U.S. HOUSE OF REPRESENTATIVES
INSIDE MAIL
(Office Use Only)

Bartholomew (Bart) T. Stupak
(Full Name)

4101 Michigan Shores Drive
(Mailing Address)

Menominee MI 49858

Daytime Telephone 202/225-4735

Filer Status				
	[X] Member of the U.S. House of Representatives	State MI District 01	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [X] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) Yes [ ] No [X]

EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Bart T. Stupak

DATE (Month/Day/Year): 5/13/98

4023

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of Michigan - Michigan State Police	Disability Retirement	$15,740.13
	City of Menominee, Michigan (Spouse - Mayor's salary)	Spouse Salary	$1,250.04

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package For further information, see Instructions, pages 13-14

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash , D C	Speech	Feb 2 1994	$2,000
	XYZ Magazine	Article	Aug 13, 1994	$500
	Thomas M Cooley Law School, Lansing, MI	Graduation Speech	10-30-98	$1,500 00

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude**: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC *Examples* JT	SP Mega Corp Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Bart T. Stupak, PC (stock)	$1,001 - $15,000	NA	None	NA
JT	Office - 817 Ninth Ave, Menominee, MI	$15,001 - $50,000	Rent	$5,001 - $15,000	NA
JT	Home - 4101 Michigan Shores Dr, Menominee, MI	$100,001 - $250,000	NA	None	NA
JT	Savings Acct - Stephenson National Bank	$1,001 - $15,000	Interest	$201 - $1,000	NA
DC	Savings Acct - Northern Michigan National Bank	$1,001 - $15,000	Interest	$201 - $1,000	NA
JT	Lot 4, Michigan Shores Subdivision, Menominee, MI	$1,001 - $15,000	NA	None	NA

4026

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
JT	Stephenson National Bank, Marinette, WI	Mortgage - 817 9th Avenue, Menominee, MI	$15,001 - $50,000
JT	First National Bank of Menominee, MI	Mortgage - 4101 Michigan Shores, Menominee, MI	$100,001 - $250,000
	Northwestern Mutual Insurance Co.	Loan from personal life insurance	$10,001 - $15,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee. Travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure–Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
National Assn Securities & Commercial Law Attorneys (NASCAT)	01/30/97 - 02/02/97	Green Bay, WI - Key Largo, FL - Green Bay, WI	Y	Y	Y	NO
NAPO (National Assn of Police Officers)	08/11/97 - 08/14/97	Green Bay, WI - Los Angeles, CA - Green Bay, WI	Y	Y	Y	2 Days

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Owner / Director	Bart T Stupak, PC

BART STUPAK
1ST DISTRICT, MICHIGAN

1410 LONGWORTH BUILDING
WASHINGTON, DC 20515
(202) 225-4735
FAX (202) 225-4744
EMAIL ADDRESS stupak@mail.house.gov

Congress of the United States
House of Representatives
Washington, DC 20515-2201

COMMITTEE
COMMERCE
SUBCOMMITTEES
HEALTH AND THE ENVIRONMENT
FINANCE AND
HAZARDOUS MATERIALS
OVERSIGHT AND
INVESTIGATIONS

CO-CHAIRMAN,
LAW ENFORCEMENT CAUCUS

REGIONAL WHIP

October 16, 1997

The Honorable Thomas E. Brennan, President
Thomas Cooley Law School
217 South Capitol Avenue
P.O. Box 13038
Lansing, MI 48901

Dear President Brennan:

I thank you for the opportunity to address the 1997 Graduating Class at Cooley. I enjoyed visiting my alma matter and sharing my thoughts with your latest class of law school graduates.

I recently received the enclosed honorarium check in the amount of $1,500 for my address. While I appreciate Cooley's kind gesture, members of Congress are prohibited from receiving honoraria. Therefore, I am returning the check to you with the request that the money be donated to three groups in my name. I would ask that $500 be donated to the Women's Resource Center in Traverse City to be used at their domestic violence shelter, $500 be donated to the Leland High School to assist with their semi-annual governmental mock election program and that $500 be donated to the Kingsford High School for their government class activities. The address for each is:

Women's Resource Center	Leland High School	Kingsford High School
720 South Elmwood	200 North Grand Avenue	431 Hamilton
Traverse City, MI 49684	Leland, MI 49654	Kingsford, MI 49802
616/941-1210	616/256-9857	906/779-2670

If you have any questions, please do not hesitate to contact me or my Chief of Staff, Mr. Scott Schloegel, at 202/225-4735.

Sincerely,

Bart

BART STUPAK
MEMBER OF CONGRESS

enclosure

Please send me a copy of the letters to these organizations. Thanks again!

PLEASE REPLY TO:

☐ 1229 W. WASHINGTON
MARQUETTE, MI 49855
(906) 228-3700

☐ 902 LUDINGTON STREET
ESCANABA, MI 49829
(906) 786-4504

☐ 616 SHELDEN
HOUGHTON, MI 49931
(906) 482-1371

☐ 1120 EAST FRONT STREET
SUITE D
TRAVERSE CITY, MI 49686
(616) 929-4711

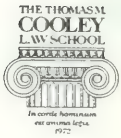
☐ 111 E. CHISHOLM
ALPENA, MI 49707
(517) 356-0690

☐ 2 SOUTH 6TH STREET
SUITE 3
CRYSTAL FALLS, MI 49920
(906) 875-3751

TOLL FREE: 1-800-950-REP1 (1-800-950-7371)

PRINTED ON RECYCLED PAPER

W. A. ROBINSON
SENIOR VICE PRESIDENT
FOR FINANCE
TREASURER/CONTROLLER



October 30, 1997

The Honorable Bart Stupak
1st District, Michigan
1410 Longworth Building
Washington, DC 20515

Dear Mr. Stupak:

Thank you for returning your honorarium check for $1,500.00.

As you requested, we have donated $500.00 each to the three groups listed in your letter of October 16, 1997.

For your file, we have enclosed copies of our letter to these groups as well as copies of the checks.

Once more we wish to thank you for your participation in our September graduation ceremony.

Sincerely,

W.A. Robinson

WAR:nr
Enclosures

217 SOUTH CAPITOL AVENUE • POST OFFICE BOX 13038 • LANSING, MICHIGAN 48901 517 371 5140 FAX 517 334-5718

A. ROBINSON
SENIOR VICE PRESIDENT
FOR FINANCE
TREASURER/CONTROLLER

THE THOMAS M.
COOLEY
LAW SCHOOL
In conde hominum
est omnis lex
1972

October 30, 1997

Leland High School
220 North Grand Avenue
Leland, MI 49654

Dear Sir/Madam:

As requested by Congressman Bart Stupak we are donating $500.00 to your high school to be used to assist with your semi-annual governmental mock election program. Please find our check attached.

We are very pleased to provide this donation as directed by Mr. Stupak, the speaker at our September graduation.

Sincerely,

W.A. Robinson

WAR:nr

c Congressman Stupak

217 SOUTH CAPITOL AVENUE • POST OFFICE BOX 13038 • LANSING, MICHIGAN 48901 517 371 5140 FAX 517 334-5718

ROBINSON
NIOR VICE PRESIDENT
FOR FINANCE
TREASURER/CONTROLLER

THE THOMAS M.
COOLEY
LAW SCHOOL

October 30, 1997

Kingsford High School
431 Hamilton
Kingsford, MI 49802

Dear Sir/Madam:

As requested by Congressman Bart Stupak we are donating $500.00 to your high school to be used for your government class activities. Please find our check attached.

We are very pleased to provide this donation as directed by Mr. Stupak, the speaker at our September graduation.

Sincerely,

W.A. Robinson

WAR:nr

c: Congressman Stupak

217 SOUTH CAPITOL AVENUE • POST OFFICE BOX 13038 • LANSING, MICHIGAN 48901 517 371 5140 FAX 517 334-5718

W. ROBINSON
SENIOR VICE PRESIDENT
FOR FINANCE
TREASURER/CONTROLLER

THE THOMAS M.
COOLEY
LAW SCHOOL
In corde hominum
ex animo legis
1972

October 30, 1997

Women's Resource Center
720 South Elmwood
Traverse City, MI 49684

Dear Sir/Madam:

As requested by Congressman Bart Stupak we are donating $500.00 to your organization to be used at your domestic violence shelter. Please find our check attached.

We are very pleased to provide this donation as directed by Mr. Stupak, the speaker at our September graduation.

Sincerely,

W.A. Robinson

WAR:nr

c: Congressman Stupak

217 SOUTH CAPITOL AVENUE • POST OFFICE BOX 13038 • LANSING, MICHIGAN 48901 517 371 5140 FAX 517 334-5718

98 MAY 13 PM 4:30

(4)

ML

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

JOHN E. SUNUNU
(Full Name)

44 BUTTONWOOD ROAD
(Mailing Address)

(603) 641-9536
Daytime Telephone

BEDFORD, NH 03110

Filer Status	[X] Member of the U.S. House of Representatives	State NH District 1	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A ***$200 penalty*** **shall be assessed against anyone who files more than 30 days late.**

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [X] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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SIGNATURE OF REPORTING INDIVIDUAL John E. Sununu — **DATE** (Month/Day/Year) 5-10-98

4035

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500
	HESSER COLLEGE, MANCHESTER, NH	COMMENCEMENT	MAY 1997	$ 150.00

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Name JOHN E. SUNUNU | Page 3 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
SP Mega Corp Stock	X (E)	DIVIDENDS X		P
DC Examples: Simon & Schuster	Indefinite	RENT		S
JT 1st Bank of Paducah, KY accounts	X (F)	INTEREST X		E
		CAPITAL GAINS		
		EXCEPTED TRUST		P
		QUALIFIED BLIND TRUST		
		Other Type of Income (Specify. For Example: Partnership Income or Farm Income) Royalties		
CITIZENS BANK MANCHESTER, NH ACCTS	X (C)		X (II)	
IRA: FIDELITY MAGELL.	X (C)	DIVIDENDS X; INTEREST X; CAPITAL GAINS X	NA-IRA	
IRA: FIDELITY LAT AM	X (C)	DIVIDENDS X; INTEREST X; CAPITAL GAINS X	NA-IRA	
IRA: BELL ATL STOCK	X (C)	DIVIDENDS X; CAPITAL GAINS X	X (IV)	
IRA: FIDELITY CASH RES.	X (C)	INTEREST X	X (III)	

For additional assets and unearned income, use next page.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	ASPEN INSTITUTE	MARCH 7-9	HERSHEY, PA	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
98 MAY 20 AM 11: 14
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

14 MAY 15 1998
(Office Use Only)

James M. Talent
(Full Name)
15739 Cedarmill Drive
(Mailing Address)
Chesterfield Missouri 63017
Daytime Telephone (314) 872-9561

Filer Status: [X] Member of the U.S. House of Representatives — State District: [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [X] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [ ] No [X]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: James M Talent

DATE (Month/Day/Year): 05/11/9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Washington University Law School	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

4040

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package

Source	Activity	Date	Amount
Examples Association of American Associations, Wash , D C	Speech	Feb 2, 1997	$2,000
XYZ Magazine	Article	Aug 13, 1997	$500
National Technical Services Ass'n, Wash., D.C.	Speech	June 12, 1997	$1,000

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Name James M. Talent | Page 4 of 14

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 of "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude your personal residence unless (hence rental income), any debt owed to you by your spouse or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings or checking accounts, any financial interests or income derived from U.S. government retirement programs.

If you choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP/DC/JT	Examples	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST*	QUALIFIED BLIND TRUST*	Other Type of Income (Specify: For Example, Partner's Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP		Mega Cap Stock						X							X																		
DC	Examples	Simon & Schuster			Indefinite																Royalties												
JT		1st Bank of Paducah KY accounts						X									X										X						
JT		Merrill Lynch CMA Money Fund				X									X									X									
JT		Giant Food Stock			X										X									X									Gift
JT		Chase Manhattan Stock			X										X									X									
JT		Exxon Stock				X									X									X									
JT		Wal Mart Stores Stock			X										X			X						X									S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James M. Talent

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
JT	Avon Products Stock			X										X									X									
JT	Royal Dutch Petroleum Stock			X										X									X									
JT	Merrill Lynch Senior Floating Rate Fund			X										X									X									
SP	Fidelity Magellan (IRA)			X																	N	A										
DC	Oppenheimer Hi Yield Fund			X										X									X									
DC	Oppenheimer Hi Yield Fund		X											X								X										
DC	Oppenheimer Main St. Inc. & Growth Fund			X										X			X						X									
DC	Oppenheimer Main St. Inc. & Growth Fund			X										X			X						X									
DC	Poughkeepsie Financial Corp Stock (name change)			X										X								X										
DC	Tucson Electric Power Stock			X																	X											
DC	Wang Labs Stock			X													X						X									S
DC	Fleet Financial Group Stock				X									X									X									
JT	AT&T Stock			X										X								X										S
JT	US Bancorp Stock (received in exchange for First Bank)			X										X								X										E
JT	Int'l Paper Stock	X															X					X										S
JT	TECO Stock			X										X								X										
JT	General Electric Stock			X										X								X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James M. Talent

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	MEMC Electr. Matls Stock			X																	X											
JT	Berkshire Hathaway B Stock			X																	X											
JT	Lucent Tech Stock			X										X								X										
JT	Merck Stock			X										X								X										
JT	Commercial Net Realty Stock			X										X								X										
JT	Royal BK Scotland Pref. Stock E	X												X								X										S
JT	CIFRA C COPN Stock		X																		X											
JT	Health Chem Stock		X																		X											
	Missouri State Pension				X																X											
JT	CGM Mutual Fund			X										X			X							X								
	Nations Bank Accounts (formerly Boatmen's)				X											X								X								
SP	Fidelity Puritan Fund (IRA)			X																	NA											
	Oppenheimer Hi Yield Fund (IRA)			X																	NA											
JT	Vanguard GNMA Fund			X										X			X						X									
SP	Bryan Cave SELF (formerly part of partnership interest)			X												X						X										
JT	Southwest Gas Stock			X										X								X										
JT	Wendy's Int'l Stock			X										X								X										
JT	Rockwood School Dist. Bond			X												X							X									
JT	John Hancock Reg. BK Fund. B			X										X			X					X										
JT	UTS Mo. Insd Muni #66			X												X						X										

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James M. Talent

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
JT	Mo. St. Hlth & Ed. Fac. Bonds			X												X							X									
JT	Mo. St. HSG DV Comm GNMA Bonds			X												X							X									
JT	Merrill Lynch Global Alloc Fund			X													X					X										
SP	Fidelity Cash Reserves (IRA)			X																	NA											
	Fidelity Cash Reserves (IRA)			X																	NA											
JT	Sogen Int'l Fund			X										X			X						X									
	Oppenheimer Main St. Inc. & Growth Fund (IRA)				X																NA											
SP	Fidelity Contrafund (IRA)			X																	NA											
SP	Fidelity Blue Chip Fund (IRA)			X																	NA											
SP	Putnam New Opportunities Fund (IRA)			X																	NA											
DC	Twentieth Century Giftrust			X													X					X										
DC	Davis NY Venture Fund			X										X			X					X										
JT	Vanguard Windsor (purchased as Gemini II Inc Shares)			X										X			X						X									L
JT	Oracle Stock			X																	X											P
JT	Three Com Stock			X																	X											P
JT	Seifeco Stock			X																	X											P
JT	Jones Medical Stock			X										X								X										P
SP	Fidelity Select Electronics (IRA)			X																	NA											E

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James M. Talent

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
DC	Oracle Stock			X																	X											P
DC	Milton O. Talent Irrevocable Trust (DCs have a 3/5 interest; this interest will change if the number of grandchildren change. The values and income reflected below, and for the Trust in the aggregate, are based on the DCs' interest. Assets of the Trust that do not meet the asset or income test are not listed below but are included in the aggregate value and income of the Trust.):							X					X			X								X								
DC	Bontex Stock (formerly Georgia Bonded Fiber)			X																	X											
DC	Wheelabrator Tech. Stock			X										X								X										
DC	Spartech Stock				X									X								X										
DC	Alumax Stock			X																	X											
DC	MedPartners Stock			X																	X											
DC	Morgan Stanley Dean Witter Discover Stock (received in				X									X								X										E

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James M. Talent

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	exchange for Dean Witter Discover)																															
DC	Cyprus Amax Minerals Stock			X										X								X										
DC	Telefonica (CPT) Peru B Pen Par			X										X								X										
	Ordinary Stock																															
DC	Continental Health Affil.			X																	X											
	Stock																															
DC	Waste Management Stock			X										X								X										
	(name change from WMX																															
	Technologies)																															
DC	Ralcorp Hldgs Inc. New			X										X								X										E
	Stock (spinoff of Ralcorp																															
	Hldgs merger with General																															
	Mills)																															
DC	Barrett Resources Stock			X																	X											
DC	Chantal Pharmaceutical Stock		X																		X											
DC	John Hancock Reg Bank Fund Cl B			X										X								X										
DC	Oppenheimer Main St. Inc. &			X										X			X						X									
	Growth Fund																															
DC	Putnam New Opportunites Fund			X													X					X										
DC	Smith Barney Money Fund		X													X							X									
DC	Sogen Int'l Fund			X										X			X					X										
DC	Allstar Inns Stock		X														X							X								S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James M. Talent

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
DC	Health-Chem Stock		X																		X											
DC	Johns Manville New Stock (name change from Schuller)			X										X								X										
DC	MCI Cap I Preferred Stock			X										X									X									
DC	Keyport Life Key Index Annuity			X																	X											
DC	Castle & Cooke Stock			X																	X											
DC	Dave & Busters Stock			X										X								X										
DC	Maxxam Stock			X																	X											
DC	Payless Shoesource Stock			X																	X											
DC	Wang Labs Stock			X																	X											
DC	Vanguard Windsor II Fund			X										X			X						X									
DC	Allegiance Stock			X																	X											Gift
DC	Apple Computer Stock			X																	X											Gift
DC	Cash American Intl. Stock			X																	X											Gift
DC	Primex Technologies Stock			X																	X											Gift
DC	Vanguard Index 500 Fund			X										X			X					X										P
DC	General Mills			X										X								X										E
DC	CMA Money Fund			X										X								X										
DC	Eljer Stock (meets income reporting threshold this year)	X															X						X									S
	This ends the Trust asset list.																															

4048

SCHEDULE IV — TRANSACTIONS

Name James M. Talent

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
JT	Wal Mart Stores Stock -- 100 shares		X		02-18-97	X									
DC	Wang Lab Stock -- 200 shares		X		01-17-97	X									
JT	AT&T Stock -- 50 shares		X		01-29-97	X									
JT	International Paper Stock -- 50 shares		X		01-29-97	X									
JT	Royal Bk Scotland Pref. Stock E -- 200 shares		X		04-07-97	X									
DC	Ralcorp Hldgs Stock exchanged for General Mills Stock pursuant to a merger			X	02-06-97	X									
DC	General Mills Stock received in exchange for Ralcorp Hldgs Stock			X	02-06-97	X									
DC	Ralcorp Hldgs Inc. New Stock received as spinoff of Ralcorp Hldgs merger with General Mills			X	02-06-97	X									
JT	First Bank System exchanged for U.S Bancorp			X	08-04-97	X									
JT	U.S. Bancorp received in exchange for First Bank System			X	08-04-97	X									

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SCHEDULE IV — TRANSACTIONS

Name James M. Talent

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
DC	Vanguard Index 500 Fund	X			02/21/97 & qtrly div reinv	X									
JT	Gemini II Inc. Income Shares	X			01-10-97	X									
JT	Vanguard Windsor Fund received in exchange for Gemini II Inc. Income Shares			X	02-19-97	X									
JT	Gemini II Inc. Income Shares exchanged for Vanguard Windsor Fund			X	02-19-97	X									
SP	Fidelity Select Electronics (IRA) (this transaction was a rollover of cash from an IRA account)	X			02-27-97	X									
JT	Safeco Stock -- 100 shares	X			10-15-97	X									
JT	Jones Medical Stock -- 150 shares	X			07-09-97	X									
JT	Three Com Stock -- 100 shares	X			05-05-97	X									
JT	Oracle Stock -- 100 shares	X			12-10-97	X									
DC	Oracle Stock	X			12-15-97	X									
DC	Poughkeepsie Savings Bank Stock changed its name to Poughkeepsie Financial Corp Stock			X	06-09-97	X									

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4050

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
DC	Poughkeepsie Financial Corp Stock formerly Poughkeepsie Savings Bank Stock			X	06-09-97	X									
DC	Georgia Bonded Fiber Stock changed its name to Bontex Stock			X	01-15-97	X									
DC	Bontex Stock formerly Georgia Bonded Fiber Stock			X	01-15-97	X									
DC	WHX Technologies Stock changed its name to Waste Management Stock			X	05-14-97	X									
DC	Waste Management Stock formerly WHX Technologies Stock			X	05-14-97	X									
DC	Schuller Corp Stock changed its name to Johns Manville New Stock			X	05-08-97	X									
DC	Johns Manville New Stock formerly Schuller Corp. Stock			X	05-08-97	X									
DC	Allstar Inns Stock		X		05-21-97	X									
DC	Dean Witter Discover Stock exchanged			X	06-03-97	X									

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SCHEDULE IV — TRANSACTIONS

Name James M. Talent | Page 14 of 14

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	for Morgan Stanley Dean Witter Discover Stock														
DC	Morgan Stanley Dean Witter Discover Stock received in exchange for Dean Witter Discover Stock			X	06-03-97	X									

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98 MAY 14 PM 4:41

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

JOHN S. TANNER
(Full Name)
1127 LONGWORTH HOUSE OFFICE BUILDING
(Mailing Address)
WASHINGTON, D.C. 20515
Daytime Telephone (202) 225-4714

MC (Office Use Only) (9)

Filer Status	☒ Member of the U.S. House of Representatives	State TENN. District 8	☐ Officer or Employee — Employing Office
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: John Tanner

DATE (Month/Day/Year): 5/13/98

4053

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	UNION CITY INSURANCE AGENCY (FAMILY OWNED BUSINESS)	FEE	7500.-
	SHENANDOAH SHUTTERS	SPOUSE INCOME	
	BETTY ANN TANNER ACCESSORIES	SPOUSE INCOME	

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JOHN S. TANNER

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E
SP	Examples						X							X																		P
DC				Indefinite																Royalties									X			
JT							X									X									X							
	UNION CITY INS. STOCK				X																X											
	UNION PLANTERS BANK			X												X							X									
	TN. PENSION PLAN (VESTED)			X																	X											
	REELFOOT BANK ACCTS.				X											X								X								
	NOTE PAYABLE BOB HUNT			X												X								X								
SP	19 INT. MEAGER MEANS INVT. CLUB			X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN S TANNER | Page 5 of 9

SP. DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
	(IRA:)																														
	CENTRAL PARKING CORP.						X							X													X				
	TASEKO MINES			X										X							X										
	RENAL CARE			X										X								X									
	ZITEL			X										X								X									
	HEALTH DYNE			X										X								X									
	BOLDER TECHNOLOGIES			X										X							X										P
	CORRECTIONS CORP. OF AMERICA				X									X							X										
	DELTA PINE + LAND			X										X										X							
	DUPONT			X										X											X						P
	HEALTH DYNE INFORM.			X										X							X										
	MEDTRONIC				X									X												X					P
	RENTECH INC. COM.			X										X										X							P
	UNIFAB INTERNATIONAL			X										X							X										P

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SCHEDULE IV — TRANSACTIONS

Name JOHN S TANNER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC, JT SP	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example Mega Corporation Common Stock	X			10-12-97		X								
	BOLDER TECHNOLOGIES	X			1/22/97	X									
	CORRECTIONS CORP OF AMERICA	X			4/11/97	X									
	DUPONT E I DENEMOURS	X			5/6/97	X									
	MEDTRONIC	X			4/14/97	X									
	RENTECH INC. Com	X			12/15/97	X									
	UNIFAB INTERNATIONAL INC.	X			9/18/97	X									
	CPI CORP.		X		1/22/97	X									
	LUFKIN INDUSTRIES		X		4/11/97	X									
	LORAL SPACE + COMMUNICATIONS		X		4/14/97	X									
	TEMPLETON DEVELOPING MARKETS		X		4/14/97	X									
	ACM MANAGED DOLLAR FUND		X		5/6/97	X									
	DELTA + PINE LAND CO.		X		5/6/97	X									
	SYMMETRICOM INC.		X		9/5/97		X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	REELFOOT BANK, UNION CITY, TN.	PERSONAL NOTE		X								
	1st VOLUNTEER BANK, UNION CITY, TN.	PERSONAL NOTE		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name JOHN S. TANNER | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	SAFARI CLUB INTERNATIONAL	1/30-2/1	DC - LAS VEGAS - DC	Y	Y	N	N
	CORNING, INCORPORATED	10/31-11/2	DC - AUGUSTA, GA. - DC	Y	Y	N	N
	TULANE UNIVERSITY / U.S. ASIA FORUM	11/14-11/25	DC - BEIJING, CHINA - DC	Y	Y	Y	1 DAY

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
VICE PRESIDENT	UNION CITY INSURANCE CO. (FAMILY OWNED BUSINESS)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NONE	

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

JOHN TANNER
8TH DISTRICT
TENNESSEE

RECEIVED
98 JUN -4 PM 2:09
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

COMMITTEE
ON
WAYS AND MEANS

CONGRESS OF THE UNITED STATES
HOUSE OF REPRESENTATIVES
WASHINGTON, DC 20515–4208

INSIDE MAIL

May 29, 1998

Ms. Robin H. Carle
Clerk of the House
H154, The Capitol
Washington, D.C. 20515

MC

2

Dear Ms. Carle:

After a recent conversation with John Vargo at the Committee on Standards of Official Conduct, I understand that any transactions which will result in Capitol Gains must also be listed on Schedule III under Assets and "Unearned" Income.

With that said, I am submitting an amended copy of Page 5 of my Financial Disclosure Report. Mr. Vargo said that that was all that needed to be done -- showing the addition of any sales which resulted in a profit.

Should you have any questions about this, you may contact Kathy Becker in my office at 225-4714.

Sincerely,

John Tanner, M. C.

JT/kb

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98 JUN -3 AM 8:46

1127 LONGWORTH BUILDING
WASHINGTON, D.C. 20515
(202) 225–4714
FAX (901) 225–1765

POST OFFICE BOX 629
203 WEST CHURCH STREET
UNION CITY, TN 38261
(901) 885–7070
FAX (901) 885–7094

ROOM B-7, FEDERAL BUILDING
JACKSON, TN 38301
(901) 423–4848
FAX (901) 427-1537

8120 HIGHWAY 51 NORTH
SUITE 3
MILLINGTON, TN 38053
(901) 873–5690
FAX (901) 873–5692

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN S TANNER

Page 5 of 9

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	(IRA:)																														
	CENTRAL PARKING CORP.						X							X													X				
	TASEKO MINES			X										X							X										
	RENAL CARE			X										X								X									
	ZITEL			X										X								X									
	HEALTH DYNE			X										X								X									
	BOLDER TECHNOLOGIES			X										X							X										P
	CORRECTIONS CORP. OF AMERICA				X									X							X										
	DELTA PINE + LAND			X										X										X							
	DUPONT			X										X											X						P
	HEALTH DYNE INFORM			X										X							X										
	MEDTRONIC				X									X												X					P
	RENTECH INC. COM.			X										X										X							P
	UNIFAB INTERNATIONAL			X										X							X										P
	TEMPLETON DEV. MKTS.			X													X							X							S
	DELTA PINE + LAND			X													X						X								S

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
98 MAY 15 PM 4:42

ELLEN O. TAUSCHER
(Full Name)

2315 "S" STREET NW, WASHINGTON, D.C. 20008
(Mailing Address)

(202) 225-1880
Daytime Telephone

HAND DELIVERED 415
(Office Use Only)

Filer Status: [X] Member of the U.S. House of Representatives — State District: California 10th [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Ellen O. Tauscher

DATE (Month/Day/Year): 5/15/98

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	n/A
VANSTAR, Pleasnton, California	Spouse salary	n/a
REGENCY LINCOLN MERCURY, Dallas, Texas	Spouse Consulting Fee	n/a
VONS, Aradia, California	Spouse Director's Fee	n/a

For payments to charity in lieu of honoraria, use Schedule II

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
Examples XYZ Magazine	Article	Aug. 13, 1997	$500
N/A			

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Name ELLEN O. TAUSCHER | Page 4 of 15

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify for Example Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E
SP	Examples: SP Mega Corp. Stock					X								X																	P, S, E
DC	Examples: DC Simon & Schuster		Indefinite																	Royalties								X			P
JT	Examples: JT 1st Bank of Paducah, KY accounts						X									X									X						
SP	Dallas Motors - Note							X								X									X						
SP	Dallas Taxi Motors - Note					X										X								X							
SP	Dallas Transportation - Note									X						X									X						
SP	Abrams Central Nat'l. Bank			X												X						X									
JT	Summit Bank				X											X						X									
SP	Stanford Trading								X							X					X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ELLEN O. TAUSCHER

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	The Registry Companies-note									X						X										X					
SP	Bear Stearns - IRA						X							***							X										
SP	Jeff Finkel - Note				X											X							X								
SP	Vanstar Stock											X		****							X										
SP	Larsen Beef Company						X							****							X										
SP	Tauscher & Associates					X										X									X						
SP	Terminal Taxi Equipment Leasing Partners LTD.						X							****							X										
SP	TFB Partners				X									****							X										
SP	Warehouse Investment Partners						X							****							X										
SP	Regency Holding Company									X				****							X										
SP	Bard Parnters III								X					****							X										P
	*** No Income generated by these Assets																														

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	The following are Purchase/Sale Transactions														
	for Bear Stearns Securities:														
DC	CHANCELLOR CORP-DEL-CL A	X			12-09-96		X								
DC	CHANCELLOR CORP-DEL-CL A		X		01-16-97		X								
DC	VANSTAR CORP	X			10-30-96		X								
DC	VANSTAR CORP		X		03-18-97	X									
DC	VANSTAR CORP	X			01-16-97	X									
DC	VANSTAR CORP		X		03-18-97	X									
DC	VANSTAR CORP	X			01-16-97	X									
DC	VANSTAR CORP		X		03-19-97	X									
DC	VANSTAR CORP	X			01-16-97	X									
DC	VANSTAR CORP		X		03-20-97	X									
DC	VANSTAR CORP	X			01-16-97	X									
DC	VANSTAR CORP		X		04-15-97	X									
DC	PREMIERE TECHNOLOGIES INC	X			06-19-97	X									
DC	PREMIERE TECHNOLOGIES INC		X		06-19-97	X									

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* | Mega Corporation Common Stock	x			10-12-97		x								
DC	GATEWAY 2000 INC.	X			06-19-97		X								
DC	GATEWAY 2000 INC.		X		06-20-97		X								
DC	NETSCAPE COMMUNICATIONS CORP	X			06-23-97		X								
DC	NETSCAPE COMMUNICATIONS CORP		X		06-24-97		X								
DC	NETSCAPE COMMUNICATIONS CORP	X			06-25-97		X								
DC	NETSCAPE COMMUNICATIONS CORP		X		06-25-97		X								
DC	MICRO WAREHOUSE INC	X			06-20-97	X									
DC	MICRO WAREHOUSE INC.		X		06-27-97	X									
DC	PREMIERE TECHNOLOGIES INC.	X			06-25-97	X									
DC	PREMIERE TECHNOLOGIES INC		X		06-27-97	X									
DC	NETSCAPE COMMUNICATIONS CORP.	X			06-27-97		X								
DC	NETSCAPE COMMUNICATIONS CORP		X		07-02-97		X								
DC	VANSTAR CORP	X			01-16-97	X									
DC	VANSTAR CORP		X		07-08-97	X									
DC	VANSTAR CORP	X			07-03-97	X									
DC	VANSTAR CORP		X		07-08-97	X									

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
DC	MICROAGE INC CL-A VTG W/RTS	X			07-08-97	X									
DC	MICROAGE INC CL-A VTG W/RTS		X		07-09-97	X									
DC	CALL TANDEM COMP JUL 22.5 AMEX	X			07-08-97	X									
DC	CALL TANDEM COMP JUL 22 5 AMEX		X		07-11-97	X									
DC	CALL NETSCAPE COM JULY 040	X			07-11-97	X									
DC	CALL NETSCAPE COM JULY 040		X		07-14-97	X									
DC	CALL S&P 100 INDX JUL 910 CBOE	X			07-09-97	X									
DC	CALL S&P 100 INDX JUL 910 CBOE		X		07-16-97	X									
DC	CALL S&P 100 INDX JUL 910 CBOE	X			07-11-97	X									
DC	CALL S&P 100 INDX JUL 910 CBOE		X		07-16-97	X									
DC	CALL S&P 100 INDX AUG 960 CBOE	X			07-21-97	X									
DC	CALL S&P 100 INDX AUG 960 CBOE		X		07-22-97		X								
DC	CALL WESTINGHOUSE JUL 025 AMEX	X			07-03-97	X									
DC	CALL WESTINGHOUSE JUL 025 AMEX		X		07-23-97	X									
DC	CALL WESTINGHOUSE JUL 025 AMEX	X			07-08-97	X									
DC	CALL WESTINGHOUSE JUL 025 AMEX		X		07-23-97	X									

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* : Mega Corporation Common Stock	X			10-12-97		X								
DC	CALL IBM AUG 105 CBOE	X			07-22-97	X									
DC	CALL IBM AUG 105 CBOE		X		07-24-97	X									
DC	CALL S&P 100 INDX AUG 960 CBOE	X			07-24-97	X									
DC	CALL S&P100 INDX AUG 960 CBOE		X		07-24-97	X									
DC	CALL SUN MICRO AUG 47.5PSE	X			07-22-97	X									
DC	CALL SUN MICRO AUG 47 5PSE		X		08-07-97	X									
DC	VANSTAR CORP	X			07-03-97	X									
DC	VANSTAR CORP		X		08-07-97	X									
DC	VANSTAR CORP	X			07-14-97	X									
DC	VANSTAR CORP		X		08-07-97	X									
DC	VANSTAR CORP	X			07-16-97	X									
DC	VANSTAR CORP		X		08-07-97	X									
DC	NETSCAPE COMMUNICATIONS CORP	X			08-08-97		X								
DC	NETSCAPE COMMUNICATIONS CORP		X		08-08-97		X								
DC	CALL S&P 100 INDX AUG 960 CBOE	X			07-25-97	X									
DC	CALL S&P 100 INDX AUG 960 CBOE		X		08-20-97	X									

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
	The following are Purchase/Sale Transactions														
	for Bear Stearns Securities:														
SP	INTERNATIONAL BUSINESS MACHINES	X			01-03-97							X			
SP	INTERNATIONAL BUSINESS MACHINES		X		01-03-97							X			
SP	MONSANTO CO-W/RTS TO PUR C/STK	X			01-06-97						X				
SP	MONSANTO CO-W/RTS TO PUR C/STK		X		01-06-97						X				
SP	WESTERN DIGITAL CORP	X			01-06-97							X			
SP	WESTERN DIGITAL CORP		X		01-08-97							X			
SP	ASPECT DEVELOPMENT INC	X			01-02-97				X						
SP	ASPECT DEVELOPMENT INC		X		01-09-97				X						
SP	DELL COMPUTER CORP	X			01-06-97						X				
SP	DELL COMPUTER CORP		X		01-10-97						X				
SP	ADVANCED MICRO DEVICES INC	X			01-13-97						X				
SP	ADVANCED MICRO DEVICES INC		X		01-13-97						X				
SP	INGRAM MICRO INC-CL A	X			01-09-97	X									
SP	INGRAM MICRO INC -CL A		X		01-13-97	X									

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SCHEDULE IV — TRANSACTIONS

Name: HELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	MICROSOFT CORP	X			01-06-97						X				
SP	MICROSOFT CORP		X		01-13-97						X				
SP	SUN MICROSYSTEMS INC WT/RTS	X			01-06-97						X				
SP	SUN MICROSYSTEMS INC WT/RTS		X		01-13-97						X				
SP	CALL S&P 100 INDX JAN 750 CBOE	X			01-13-97		X								
SP	CALL S&P100 INDX JAN 750 CBOE		X		01-14-97		X								
SP	ASCEND COMMUNICATIONS INC	X			01-14-97							X			
SP	ASCEND COMMUNICATIONS INC		X		01-14-97							X			
SP	INTERNATIONAL BUSINESS MACHINES	X			01-13-97							X			
SP	INTERNATIONAL BUSINESS MACHINES		X		01-14-97							X			
SP	MICROSOFT CORP	X			01-06-97							X			
SP	MICROSOFT CORP		X		01-14-97							X			
SP	MONSANTO CO-W/RTS TO PUR C/STK	X			01-06-97						X				
SP	MONSANTO CO-W/RTS TO PUR C/STK		X		01-15-97						X				
SP	MICRON TECHNOLOGY INC	X			01-06-97					X					
SP	MICRON TECHNOLOGY INC		X		01-15-97					X					

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	NETSCAPE COMMUNICATIONS CORP	X			01-08-97							X			
SP	NETSCAPE COMMUNICATIONS CORP		X		01-20-97						X				
SP	CLINQAJ	X			01-14-97		X								
SP	CLINQAJ		X		01-22-97	EXPIRED									
SP	WTS INTEL CORP	X			01-14-97							X			
SP	WTS INTEL CORP		X		01-22-97							X			
SP	RANKIN AUTOMOTIVE GROUP INC	X			01-16-97				X						
SP	RANKIN AUTOMOIVE GROUP INC		X		01-22-97				X						
SP	DELL COMPUTER CORP	X			01-16-97						X				
SP	DELL COMPUTER CORP		X		01-23-97							X			
SP	INFORMIX CORP	X			01-06-97						X				
SP	INFORMIX CORP		X		01-23-97						X				
SP	ZITEL CORP	X			01-02-97				X						
SP	ZITEL CORP		X		01-23-97				X						
SP	INTERNATIONAL BUSINESS MACHINES	X			01-15-97							X			
SP	INTERNATIONAL BUSINESS MACHINES		X		01-27-97							X			

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* | Mega Corporation Common Stock	X			10-12-97		X								
SP	ADVANCED MICRO DEVICES INC	X			01-30-97						X				
SP	ADVANCED MICRO DEVICES INC		X		01-30-97						X				
SP	CHECK POINT SOFTWARE	X			01-06-97					X					
SP	CHECK POINT SOFTWARE		X		01-30-97					X					
SP	MICRON TECHNOLOGY INC	X			01-27-97						X				
SP	MICRON TECHNOLOGY INC		X		01-30-97						X				
SP	COMPAQ COMPUTER CORP	X			01-23-97							X			
SP	COMPAQ COMPUTER CORP		X		01-31-97							X			
SP	CYPRESS SEMICONDUCTOR CORP	X			01-14-97					X					
SP	CYPRESS SEMICONDUCTOR CORP		X		02-03-97					X					
SP	ZITEL CORP	X			01-02-97						X				
SP	ZITEL CORP		X		02-04-97					X					
SP	INTERNATIONAL BUSINESS MACHINES	X			01-24-97							X			
SP	INTERNATIONAL BUSINESS MACHINES		X		02-05-97							X			
SP	INFORMIX CORP	X			01-28-97						X				
SP	INFORMIX CORP		X		02-05-97						X				

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	ADVANCED MICRO DEVICES INC	X			02-06-97					X					
SP	ADVANCED MICRO DEVICES INC		X		02-07-97					X					
SP	INACOM CORP	X			01-31-97					X					
SP	INACOM CORP		X		02-07-97					X					
SP	INDIVIDUAL INC	X			02-03-97				X						
SP	INDIVIDUAL INC		X		02-07-97				X						
SP	ORACLE SYSTEMS CORP	X			02-06-97						X				
SP	ORACLE SYSTEMS CORP		X		02-07-97						X				
SP	VAIL RESORTS INC	X			02-04-97					X					
SP	VAIL RESORTS INC		X		02-10-97					X					
SP	NETSCAPE COMMUNICATIONS CORP	X			01-15-97						X				
SP	NETSCAPE COMMUNICATIONS CORP		X		02-10-97						X				
SP	NETSCAPE COMMUNICATIONS CORP	X			01-31-97					X					
SP	NETSCAPE COMMUNICATIONS CORP		X		02-10-97					X					
SP	S3 INC	X			01-06-97				X						
SP	S3 INC		X		02-10-97				X						

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	x			10-12-97		x								
SP	CALL S&P 100 INDX FEB 775 CBOE	X			02-11-97			X							
SP	CALL S&P 100 INDX FEB 775 CBOE		X		02-11-97			X							
SP	S3 INC	X			01-06-97				X						
SP	S3 INC		X		02-11-97				X						
SP	CALL S&P 100 INDX FEB 775 CBOE	X			02-12-97				X						
SP	CALL S&P 100 INDX FEB 775 CBOE		X		02-12-97				X						
SP	ADVANCED MICRO DEVICES INC.	X			02-11-97						X				
SP	ADVANCED MICRO DEVICES INC		X		02-12-97						X				
SP	PREMIERE TECHNOLOGIES INC	X			02-10-97					X					
SP	PREMIERE TECHNOLOGIES INC		X		02-12-97						X				
SP	CALL S&P 100 INDX FEB 790 CBOE	X			02-13-97			X							
SP	CALL S&P 100 INDX FEB 790 CBOE		X		02-13-97			X							
SP	GATEWAY 2000 INC.	X			01-23-97					X					
SP	GATEWAY 2000 INC.		X		02-13-97					X					
SP	NETSCAPE COMMUNICATIONS CORP	X			01-31-97					X					
SP	NETSCAPE COMMUNICATIONS CORP		X		02-13-97					X					

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SCHEDULE IV — TRANSACTIONS

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SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1 001 - $15 000	C $15 001 - $50 000	D $50 001 - $100 000	E $100 001 - $250 000	F $250 001 - $500 000	G $500 001 - $1 000 000	H $1 000 001 - $5 000 000	I $5 000 001 - $25 000 000	J $25 000 001 - $50 000 000	K Over $50 000 000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	CALL S&P 100 INDX FEB 790 CBOE	X			02-14-97			X							
SP	CALL S&P 100 INDX FEB 790 CBOE		X		02-18-97			X							
SP	GATEWAY 2000 INC	X			01-23-97						X				
SP	GATEWAY 2000 INC.		X		02-18-97						X				
SP	CALL S&P 100 INDX FEB 790 CBOE	X			02-14-97			X							
SP	CALL S&P 100 INDX FEB 790 CBOE		X		02-19-97			X							
SP	CALL S&P 100 INDX FEB 790 CBOE	X			02-19-97			X							
SP	CALL S&P 100 INDX FEB 790 CBOE		X		02-19-97			X							
SP	ADVANCED MICRO DEVICES INC	X			02-14-97						X				
SP	ADVANCED MICRO DEVICES INC		X		02-19-97						X				
SP	CALL S&P 100 INDX MAR 785 CBOE	X			02-24-97				X						
SP	CALL S&P 100 INDX MAR 785 CBOE		X		02-24-97				X						
SP	SMART MODULAR TECHNOLOGIES INC.	X			02-19-97					X					
SP	SMART MODULAR TECHNOLOGIES INC.		X		02-24-97					X					
SP	ZITEL CORP	X			01-02-97				X						
SP	ZITEL CORP		X		02-25-97				X						

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SCHEDULE IV — TRANSACTIONS

Name: LILLIAN O. TAUSCHER

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* | Mega Corporation Common Stock	X			10 12 97		X								
SP	CALL ZITEL CORP FEB 045 CBOE	X			02-07-97	EXPIRED									
SP	CALL ZITEL CORP FEB 045 CBOE		X		02-26-97		X								
SP	CALL S&P 100 INDX FEB 790 CBOE	X			02-19-97			X							
SP	CALL S&P 100 INDX FEB 790 CBOE		X		02-26-97	EXPIRED									
SP	ZITEL CORP	X			01-03-97			X							
SP	ZITEL CORP		X		02-26-97			X							
SP	PUT S&P 100 INDX MAR 780 CBOE	X			02-24-97				X						
SP	PUT S&P 100 INDX MAR 780 CBOE		X		02-26-97				X						
SP	ADVANCED MICRO DEVICES INC	X			02-25-97					X					
SP	ADVANCED MICRO DEVICES INC		X		03-03-97					X					
SP	ADVANCED MICRO DEVICES INC	X			02-25-97					X					
SP	ADVANCED MICRO DEVICES INC		X		03-04-97					X					
SP	WTS INTEL CORP	X			02-05-97							X			
SP	WTS INTEL CORP		X		03-04-97							X			
SP	APPLIED MATERIALS INC	X			03-04-97				X						
SP	APPLIED MATERIALS INC		X		03-06-97				X						

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SCHEDULE IV — TRANSACTIONS

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SP DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	APPLIED MATERIALS INC	X			03-04-97						X				
SP	APPLIED MATERIALS INC		X		03-10-97						X				
SP	MEDICIS PHARMACEUTICAL CORP	X			03-06-97						X				
SP	MEDICIS PHARMACEUTICAL CORP		X		03-13-97						X				
SP	ORACLE SYSTEMS CORP	X			03-05-97							X			
SP	ORACLE SYSTEMS CORP		X		03-13-97						X				
SP	CISCO SYSTEMS INC	X			02-03-97							X			
SP	CISCO SYSTEMS INC		X		03-14-97							X			
SP	CISCO SYSTEMS INC	X			02-13-97					X					
SP	CISCO SYSTEMS INC		X		03-14-97					X					
SP	CITRIX SYSTEMS INC	X			02-07-97							X			
SP	CITRIX SYSTEMS INC		X		03-14-97					X					
SP	CITRIX SYSTEMS INC	X			02-10-97						X				
SP	CITRIX SYSTEMS INC		X		03-14-97					X					
SP	MEDICIS PHARMACEUTICAL CORP	X			03-06-97				X						
SP	MEDICIS PHARMACEUTICAL CORP		X		03-14-97				X						

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SCHEDULE IV — TRANSACTIONS

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SP	*Example* | Mega Corporation Common Stock	X			10/12/97		X								
SP	CHECK POINT SOFTWARE	X			01-29-97					X					
SP	CHECK POINT SOFTWARE		X		03-17-97					X					
SP	CISCO SYSTEMS INC	X			02-13-97						X				
SP	CISCO SYSTEMS INC		X		03-17-97						X				
SP	CITRIX SYSTEMS INC	X			02-28-97						X				
SP	CITRIX SYSTEMS INC		X		03-17-97						X				
SP	MICRO WAREHOUSE INC	X			01-06-97					X					
SP	MICRO WAREHOUSE INC		X		03-17-97					X					
SP	CHECK POINT SOFTWARE	X			01-29-97				X						
SP	CHECK POINT SOFTWARE		X		01-29-97			X							
SP	SAFEWAY	X			06-01-87				X						
SP	SAFEWAY		X		04-09-97						X				
SP	CITRIX SYSTEMS INC	X			05-02-97			X							
SP	CITRIX SYSTEMS INC		X		05-05-97			X							
SP	ZITEL CORP	X			05-06-97		X								
SP	ZITEL CORP		X		05-09-97		X								

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	ZITEL CORP	X			05-06-97			X							
SP	ZITEL CORP		X		05-12-97			X							
SP	CITRIX SYSTEMS INC	X			05-13-97				X						
SP	CITRIX SYSTEMS INC		X		05-20-97				X						
SP	SMART MODULAR TECHNOLOGIES INC	X			05-20-97			X							
SP	SMART MODULAR TECHNOLOGIES INC		X		05-29-97			X							
SP	CALL S&P100 INDX JUL 890 CBOE	X			06-26-97			X							
SP	CALL S&P 100 INDX JUL 890 CBOE		X		06-30-97			X							
SP	CALL S&P 100 INDX JUL 890 CBOE	X			06-30-97			X							
SP	CALL S&P 100 INDX JUL 890 CBOE		X		07-01-97			X							
SP	CALL S&P 100 INDX JUL 890 CBOE	X			06-30-97			X							
SP	CALL S&P 100 INDX JUL 890 CBOE		X		07-02-97			X							
SP	NETSCAPE COMMUNICATIONS CORP	X			06-26-97					X					
SP	NETSCAPE COMMUNICATIONS CORP		X		07-02-97					X					
SP	CALL S&P 100 INDX JUL 890 CBOE	X			07-02-97			X							
SP	CALL S&P 100 INDX JUL 890 CBOE		X		07-03-97				X						

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

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SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	ASCEND COMMUNICATIONS INC	X			07-03-97						X				
SP	ASCEND COMMUNICATIONS INC		X		07-07-97					X					
SP	CISCO SYSTEMS INC	X			06-25-97							X			
SP	CISCO SYSTEMS INC		X		07-07-97							X			
SP	CALL COMPAQ COMP JUL 110 PSE	X			07-07-97		X								
SP	CALL COMPAQ COMP JUL 110 PSE		X		07-08-97				X						
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-07-97			X							
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-08-97			X							
SP	COMPAQ COMPUTER CORP	X			07-07-97							X			
SP	COMPAQ COMPUTER CORP		X		07-08-97							X			
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-08-97			X							
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-10-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-09-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-14-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-09-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-14-97	X									

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-10-97	X									
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-14-97		X								
SP	DELL COMPUTER CORP	X			07-14-97							X			
SP	DELL COMPUTER CORP		X		07-14-97							X			
SP	INTERNATIONAL BUSINESS MACHINES	X			07-09-97							X			
SP	INTERNATIONAL BUSINESS MACHINES		X		07-14-97							X			
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-10-97	X									
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-15-97	X									
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-11-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-15-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-11-97	X									
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-16-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-14-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-16-97			X							
SP	CALL S&P 100 INDX JUL 910 CBOE	X			07-15-97		X								
SP	CALL S&P 100 INDX JUL 910 CBOE		X		07-16-97			X							

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER | Page 33 of 45

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SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* , Mega Corporation Common Stock	x			10-12-97		x								
SP	WTS INTEL CORP	X			07-15-97							X			
SP	WTS INTEL CORP		X		07-16-97							X			
SP	NETSCAPE COMMUNICATIONS CORP	X			07-16-97						X				
SP	NETSCAPE COMMUNICATIONS CORP		X		07-16-97						X				
SP	CALL S&P 100 INDX AUG 960 CBOE	X			07-17-97			X							
SP	CALL S&P 100 INDX AUG 960 CBOE		X		07-22-97		X								
SP	CALL S&P 100 INDX AUG 960 CBOE	X			07-21-97		X								
SP	CALL S&P 100 INDX AUG 960 CBOE		X		07-22-97		X								
SP	CALL S&P 100 INDX AUG 960 CBOE	X			07-22-97		X								
SP	CALL S&P 100 INDX AUG 960 CBOE		X		07-22-97		X								
SP	DELL COMPUTER CORP	X			07-23-97					X					
SP	DELL COMPUTER CORP		X		07-24-97						X				
SP	DELL COMPUTER CORP	X			07-28-97				X						
SP	DELL COMPUTER CORP		X		07-28-97				X						
SP	DELL COMPUTER CORP	X			07-29-97						X				
SP	DELL COMPUTER CORP		X		07-30-97						X				

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	MICROSOFT CORP	X			07-25-97						X				
SP	MICROSOFT CORP		X		07-30-97						X				
SP	CISCO SYSTEMS INC	X			08-04-97			X							
SP	CISCO SYSTEMS INC		X		08-04-97			X							
SP	QWEST COMMUNICATIONS	X			07-21-97					X					
SP	QWEST COMMUNICATIONS		X		08-05-97					X					
SP	WESTERN DIGITAL CORP	X			07-16-97						X				
SP	WESTERN DIGITAL CORP		X		08-05-97						X				
SP	CITRIX SYSTEMS INC	X			07-25-97					X					
SP	CITRIX SYSTEMS INC		X		08-06-97						X				
SP	CITRIX SYSTEMS INC	X			07-30-97				X						
SP	CITRIX SYSTEMS INC		X		08-06-97					X					
SP	COMPAQ COMPUTER	X			08-04-97					X					
SP	COMPAQ COMPUTER		X		08-07-97					X					
SP	RAMBUS INC – DEL	X			08-07-97					X					
SP	RAMBUS INC – DEL		X		08-11-97					X					

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	WESTERN DIGITAL CORP	X			08-11-97						X				
SP	WESTERN DIGITAL CORP		X		08-12-97					X					
SP	CALL S&P 100 INDX SEP 900 CBOE	X			08-18-97				X						
SP	CALL S&P 100 INDX SEP 900 CBOE		X		08-18-97				X						
SP	CALL S&P 100 INDX SEP 900 CBOE	X			08-19-97				X						
SP	CALL S&P 100 INDX SEP 900 CBOE		X		08-19-97				X						
SP	CALL S&P 100 INDX AUG 960 CBOE	X			07-22-97		X								
SP	CALL S&P 100 INDX AUG 960 CBOE		X		08-20-97	EXPIRED									
SP	CALL S&P 100 INDX AUG 960 CBOE	X			07-23-97			X							
SP	CALL S&P 100 INDX AUG 960 CBOE		X		08-20-97	EXPIRED									
SP	CLOEWID	X			08-20-97				X						
SP	CLOEWID		X		08-20-97				X						
SP	CALL S&P 100 INDX SEP 930 CBOE	X			08-20-97				X						
SP	CALL S&P 100 INDX SEP 930 CBOE		X		08-20-97				X						
SP	CALL S&P 100 INDX AUG 890 CBOE	X			08-15-97		X								
SP	CALL S&P 100 INDX AUG 890 CBOE		X		08-20-97	EXPIRED									

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

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SP	*Example* Mega Corporation Common Stock	X			10 12 97		X								
SP	DELL COMPUTER CORP	X			08-04-97					X					
SP	DELL COMPUTER CORP		X		08-20-97					X					
SP	RAMBUS INC - DEL	X			08-12-97						X				
SP	RAMBUS INC - DEL		X		08-20-97						X				
SP	CISCO SYSTEMS INC	X			08-06-97					X					
SP	CISCO SYSTEMS INC		X		08-20-97					X					
SP	PUT S&P 100 INDX SEP 640 CBOE	X			08-18-97			X							
SP	PUT S&P 100 INDX SEP 640 CBOE		X		08-28-97		X								
SP	TERA COMPUTER CO	X			08-28-97				X						
SP	TERA COMPUTER CO		X		09-02-97				X						
SP	EURO DISNEYLAND SCA	X			01-06-97	COST $131.00									
SP	EURO DISNEYLAND SCA		X		09-03-97	PROCEEDS $131.00									
SP	WTS EURO DISNEY SCA - (CALL	X			01-06-97	COST $6.00									
SP	WTS EURO DISNEY SCA - (CALL		X		09-03-97	PROCEEDS $6.00									
SP	S3 INC	X			07-30-97				X						
SP	S3 INC		X		09-03-97				X						

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	SILICON VALLEY GROUP INC	X			07-22-97			X							
SP	SILICON VALLEY GROUP INC		X		09-03-97			X							
SP	SILICON VALLEY GROUP INC	X			07-22-97				X						
SP	SILICON VALLEY GROUP INC		X		09-05-97			X							
SP	TEXAS INSTRUMENTS INC	X			08-05-97					X					
SP	TEXAS INSTRUMENTS INC		X		09-05-97					X					
SP	SMART MODULAR TECHNOLOGIES INC	X			08-27-97					X					
SP	SMART MODULAR TECHNOLOGIES INC		X		09-08-97					X					
SP	WTS INTEL CORP	X			08-07-97					X					
SP	WTS INTEL CORP		X		09-09-97					X					
SP	COMPAQ COMPUTER CORP	X			09-08-97					X					
SP	COMPAQ COMPUTER CORP		X		09-10-97					X					
SP	NETSCAPE COMMUNICATIONS CORP	X			07-17-97				X						
SP	NETSCAPE COMMUNICATIONS CORP		X		09-10-97				X						
SP	WTS INTEL CORP	X			08-07-97					X					
SP	WTS INTEL CORP		X		09-11-97					X					

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X						•		
SP	WTS INTEL CORP	X			08-25-97					X					
SP	WTS INTEL CORP		X		09-11-97					X					
SP	CYLINK CORP	X			09-09-97					X					
SP	CYLINK CORP		X		09-18-97					X					
SP	TERA COMPUTER CO	X			09-03-97				X						
SP	TERA COMPUTER CO		X		09-18-97				X						
SP	CALL S&P 100 INDX SEP 910 CBOE	X			09-18-97				X						
SP	CALL S&P 100 INDX SEP 910 CBOE		X		09-19-97			X							
SP	CALL DELL COMPUTER SEP 095 PBW	X			09-19-97	X									
SP	CALL DELL COMPUTER SEP 095 PBW		X		09-22-97	X									
SP	CALL S&P 100 INDX OCT 940 CBOE	X			09-22-97				X						
SP	CALL S&P 100 INDX OCT 940 CBOE		X		09-22-97				X						
SP	DELL COMPUTER CORP	X			09-17-97					X					
SP	DELL COMPUTER CORP		X		09-22-97					X					
SP	DELL COMPUTER CORP	X			09-17-97				X						
SP	DELL COMPUTER CORP		X		09-22-97				X						

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

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SP, DC, JT SP	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	DELL COMPUTER CORP	X			09-22-97					X					
SP	DELL COMPUTER CORP		X		09-22-97					X					
SP	WTS INTEL CORP	X			08-25-97			X							
SP	WTS INTEL CORP		X		09-22-97			X							
SP	YAHOO INC	X			09-11-97					X					
SP	YAHOO INC		X		09-22-97					X					
SP	YAHOO INC	X			09-15-97			X							
SP	YAHOO INC		X		09-22-97			X							
SP	WTS INTEL CORP	X			08-25-97					X					
SP	WTS INTEL CORP		X		09-23-97					X					
SP	WTS INTEL CORP	X			09-05-97					X					
SP	WTS INTEL CORP		X		09-23-97					X					
SP	CALL S&P 100 INDX SEP 930 CBOE	X			08-21-97				X						
SP	CALL S&P 100 INDX SEP 930 CBOE		X		09-24-97	EXPIRED									
SP	PUT S&P 100 INDX SEP 640 CBOE	X			08-18-97			X							
SP	PUT S&P 100 INDX SEP 640 CBOE		X		09-24-97	EXPIRED									

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Name ELLEN O. TAUSCHER | Page 20 of 45

SCHEDULE IV — TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	NEXTLINK COMMUNICATIONS INC	X			09-26-97				X						
SP	NEXTLINK COMMUNICATIONS INC		X		09-29-97				X						
SP	MICRO WAREHOUSE INC.	X			09-23-97				X						
SP	MICRO WAREHOUSE INC		X		09-30-97				X						
SP	DELL COMPUTER CORP	X			09-24-97						X				
SP	DELL COMPUTER CORP		X		10-02-97					X					
SP	MICRO WAREHOUSE INC	X			09-23-97					X					
SP	MICRO WAREHOUSE INC		X		10-02-97					X					
SP	YAHOO INC	X			09-15-97				X						
SP	YAHOO INC		X		10-02-97				X						
SP	SMART MODULAR TECHNOLOGIES INC	X			10-02-97					X					
SP	SMART MODULAR TECHNOLOGIES INC		X		10-03-97					X					
SP	DIGITAL EQUIPMENT CORP	X			10-06-97						X				
SP	DIGITAL EQUIPMENT CORP		X		10-06-97						X				
SP	DELL COMPUTER CORP	X			09-30-97				X						
SP	DELL COMPUTER CORP		X		10-06-97				X						

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

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SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	MICRO WAREHOUSE INC	X			09-23-97				X						
SP	MICRO WAREHOUSE INC		X		10-06-97				X						
SP	CALL S&P 100 INDX OCT 950 CBOE	X			09-22-97			X							
SP	CALL S&P 100 INDX OCT 950 CBOE		X		10-07-97			X							
SP	DELL COMPUTER CORP	X			09-30-97						X				
SP	DELL COMPUTER CORP		X		10-07-97						X				
SP	WTS INTEL CORP	X			10-07-97							X			
SP	WTS INTEL CORP		X		10-07-97							X			
SP	FILENET CORP	X			10-03-97					X					
SP	FILENET CORP		X		10-08-97					X					
SP	NEXTLINK COMMUNICATIONS INC	X			10-01-97						X				
SP	NEXTLINK COMMUNICATIONS INC		X		10-08-97						X				
SP	YAHOO INC	X			10-07-97					X					
SP	YAHOO INC		X		10-08-97					X					
SP	CALL S&P 100 INDX OCT 950 CBOE	X			09-22-97				X						
SP	CALL S&P 100 INDX OCT 950 CBOE		X		10-09-97			X							

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SCHEDULE IV — TRANSACTIONS

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SP, DC, JT, SP	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	x			10-12-97		x								
SP	DELL COMPUTER CORP	X			10-08-97						X				
SP	DELL COMPUTER CORP		X		10-09-97						X				
SP	GATEWAY 2000 INC	X			10-09-97						X				
SP	GATEWAY 2000 INC		X		10-09-97						X				
SP	FILENET CORP	X			10-03-97				X						
SP	FILENET CORP		X		10-10-97				X						
SP	MERITOR AUTOMOTIVE INC	X			10-01-97					X					
SP	MERITOR AUTOMOTIVE INC		X		10-10-97				X						
SP	3COM CORP – W/RTS TO PUR C/STK	X			08-08-97					X					
SP	3COM CORP – W/RTS TO PUR C/STK		X		10-13-97					X					
SP	3COM CORP – W/RTS TO PUR C/STK	X			08-11-97					X					
SP	3COM CORP – W/RTS TO PUR C/STK		X		10-13-97					X					
SP	YAHOO INC	X			10-07-97					X					
SP	YAHOO INC		X		10-13-97					X					
SP	ASCEND COMMUNICATIONS INC	X			09-15-97					X					
SP	ASCEND COMMUNICATIONS INC		X		10-15-97					X					

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Name ELLEN O. TAUSCHER | Page 23 of 45

SCHEDULE IV — TRANSACTIONS

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SP/DC, JT/SP	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	APPLIED MATERIALS INC	X			10-13-97						X				
SP	APPLIED MATERIALS INC		X		10-15-97					X					
SP	WTS INTEL CORP	X			10-09-97						X				
SP	WTS INTEL CORP		X		10-15-97						X				
SP	WTS INTEL CORP	X			10-15-97					X					
SP	WTS INTEL CORP		X		10-15-97					X					
SP	NETSCAPE COMMUNICATIONS CORP	X			07-17-97						X				
SP	NETSCAPE COMUNICATIONS CORP		X		10-15-97						X				
SP	MICRO WAREHOUSE INC	X			10-09-97					X					
SP	MICRO WAREHOUSE INC		X		10-17-97					X					
SP	CALL DELL COMPUTER OCT 105 PBW	X			10-15-97	EXPIRED									
SP	CALL DELL COMPUTER OCT 105 PBW		X		10-22-97		X								
SP	CALL S&P 100 INDX OCT 950 CBOE	X			10-08-97				X						
SP	CALL S&P 100 INDX OCT 950 CBOE		X		10-22-97	EXPIRED									
SP	CALL S&P 100 INDX OCT 950 CBOE	X			10-09-97		X								
SP	CALL S&P 100 INDX OCT 950 CBOE		X		10-22-97	EXPIRED									

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	CALL S&P 100 INDX OCT 950 CBOE	X			10-10-97		X								
SP	CALL S&P 100 INDX OCT 950 CBOE		X		10-22-97	EXPIRED									
SP	PUT S&P 100 INDX NOV 670 CBOE	X			10-20-97		X								
SP	PUT S&P 100 INDX NOV 670 CBOE		X		10-23-97	EXPIRED									
SP	COMPAQ COMPUTER CORP	X			10-16-97						X				
SP	COMPAQ COMPUTER CORP		X		10-24-97						X				
SP	CITRIX SYSTEMS INC	X			10-22-97					X					
SP	CITRIX SYSTEMS INC		X		10-24-97					X					
SP	WTS INTEL CORP	X			10-15-97						X				
SP	WTS INTEL CORP		X		10-24-97						X				
SP	PUT S&P 100 INDX NOV 670 CBOE	X			10-20-97				X						
SP	PUT S&P 100 INDX NOV 670 CBOE		X		10-24-97			X							
SP	CHECK POINT SOFTWARE	X			10-24-97					X					
SP	CHECK POINT SOFTWARE		X		10-27-97					X					
SP	CITRIX SYSTEMS INC	X			10-22-97		X								
SP	CITRIX SYSTEMS INC		X		10-27-97		X								

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	PTOEXWH	X			10-27-97			X							
SP	PTOEXWH		X		10-27-97			X							
SP	ORACLE SYSTEMS CORP	X			08-20-97					X					
SP	ORACLE SYSTEMS CORP		X		10-28-97					X					
SP	WESTERN DIGITAL CORP	X			10-10-97						X				
SP	WESTERN DIGITAL CORP		X		10-28-97					X					
SP	COMPAQ COMPUTER CORP	X			10-16-97						X				
SP	COMPAQ COMPUTER CORP		X		10-30-97						X				
SP	COMPUSA INC	X			10-29-97						X				
SP	COMPUSA INC		X		10-30-97						X				
SP	APPLIED MATERIALS INC	X			10-13-97					X					
SP	APPLIED MATERIALS INC		X		11-03-97				X						
SP	DELL COMPUTER CORP	X			10-15-97						X				
SP	DELL COMPUTER CORP		X		11-03-97					X					
SP	DELL COMPUTER CORP	X			10-24-97					X					
SP	DELL COMPUTER CORP		X		11-03-97					X					

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	AMGEN INC W/RTS TO PUR COM STK	X			11-04-97							X			
SP	AMGEN INC W/RTS TO PUR COM STK		X		11-05-97							X			
SP	AVIRON	X			08-08-97				X						
SP	AVIRON		X		11-05-97				X						
SP	ASCEND COMMUNICATIONS INC	X			08-06-97						X				
SP	ASCEND COMMUNICATIONS INC		X		11-07-97				X						
SP	COMPAQ COMPUTER CORP	X			10-28-97						X				
SP	COMPAQ COMPUTER CORP		X		11-07-97						X				
SP	DELL COMPUTER CORP	X			10-30-97						X				
SP	DELL COMPUTER CORP		X		11-07-97						X				
SP	APPLIED MATERIALS INC	X			10-13-97					X					
SP	APPLIED MATERIALS INC		X		11-12-97				X						
SP	APPLIED MATERIALS INC	X			10-30-97				X						
SP	APPLIED MATERIALS INC		X		11-12-97				X						
SP	APPLIED MATERIALS INC	X			11-06-97					X					
SP	APPLIED MATERIALS INC		X		11-12-97					X					

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	ADVANCED MICRO DEVICES INC	X			11-11-97				X						
SP	ADVANCED MICRO DEVICES INC		X		11-12-97				X						
SP	CISCO SYSTEMS INC	X			11-05-97						X				
SP	CISCO SYSTEMS INC		X		11-12-97						X				
SP	NETSCAPE COMMUNICATIONS CORP	X			07-17-97						X				
SP	NETSCAPE COMMUNICATIONS CORP		X		11-12-97					X					
SP	NETSCAPE COMMUNICATIONS CORP	X			10-14-97				X						
SP	NETSCAPE COMMUNCIATIONS CORP		X		11-12-97				X						
SP	SENETEK PLC - SPONSORED ADR	X			08-19-97			X							
SP	SENETEK PLC - SPONSORED ADR		X		11-12-97		X								
SP	DELL COMPUTER CORP	X			11-12-97						X				
SP	DELL COMPUTER CORP		X		11-13-97						X				
SP	HOME DEPOT INC	X			11-13-97						X				
SP	HOME DEPOT INC		X		11-14-97						X				
SP	DELL COMPUTER CORP	X			11-17-97						X				
SP	DELL COMPUTER CORP		X		11-17-97						X				

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	DELL COMPUTER CORP	X			11-18-97						X				
SP	DELL COMPUTER CORP		X		11-18-97						X				
SP	APPLIED MATERIALS INC	X			11-10-97						X				
SP	APPLIED MATERIALS INC		X		11-19-97						X				
SP	HEWLETT PACKARD CO	X			11-17-97						X				
SP	HEWLETT PACKARD CO		X		11-19-97						X				
SP	APPLIED MATERIALS INC	X			11-20-97					X					
SP	APPLIED MATERIALS INC		X		11-20-97					X					
SP	DELL COMPUTER CORP	X			11-19-97						X				
SP	DELL COMPUTER CORP		X		11-20-97						X				
SP	RAMBUS INC - DEL	X			08-21-97					X					
SP	RAMBUS INC - DEL		X		11-20-97					X					
SP	RAMBUS INC - DEL	X			08-22-97				X						
SP	RAMBUS INC - DEL		X		11-20-97				X						
SP	RAMBUS INC - DEL	X			09-22-97					X					
SP	RAMBUS INC - DEL		X		11-20-97					X					

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	DELL COMPUTER CORP	X			11-21-97					X					
SP	DELL OMPUTER CORP		X		11-24-97					X					
SP	RAMBUS INC - DEL	X			11-21-97					X					
SP	RAMBUS INC - DEL		X		11-24-97					X					
SP	WTS INTEL CORP	X			11-24-97					X					
SP	WTS INTEL CORP		X		11-25-97					X					
SP	CALL S&P 100 INDX NOV.950 CBOE	X			10-23-97			X							
SP	CALL S&P 100 INDX NOV 950 CBOE		X		11-26-97	EXPIRED									
SP	INTERNATIONAL BUSINESS MACHINES	X			11-26-97					X					
SP	INTERNATIONAL BUSINESS MACHINES		X		11-26-97					X					
SP	PUT S&P 100 INDX NOV 760 CBOE	X			10-28-97			X							
SP	PUT S&P 100 INDX NOV 760 CBOE		X		11-26-97	EXPIRED									
SP	WTS INTEL CORP	X			11-24-97						X				
SP	WTS INTEL CORP		X		12-01-97						X				
SP	APPLIED MATERIALS INC	X			11-25-97					X					
SP	APPLIED MATERIALS INC		X		12-02-97					X					

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

Page 40 of 45

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	APPLIED MATERIALS INC	X			12-01-97				X						
SP	APPLIED MATERIALS INC		X		12-02-97				X						
SP	DELL COMPUTER CORP	X			12-02-97						X				
SP	DELL COMPUTER CORP		X		12-03-97						X				
SP	APPLIED MATERIALS INC	X			12-01-97					X					
SP	APPLIED MATERIALS INC		X		12-05-97					X					
SP	DELL COMPUTER CORP	X			12-08-97					X					
SP	DELL COMPUTER CORP		X		12-08-97					X					
SP	ASPECT DEVELOPMENT INC	X			11-03-97				X						
SP	ASPECT DEVELOPMENT INC		X		12-09-97				X						
SP	INTEL CORP	X			12-03-97						X				
SP	INTEL CORP		X		12-09-97						X				
SP	ASPECT DEVELOPMENT INC	X			11-03-97					X					
SP	ASPECT DEVELOPMENT INC		X		12-10-97				X						
SP	ASPECT DEVELOPMENT INC	X			11-06-97				X						
SP	ASPECT DEVELOPMENT INC		X		12-10-97				X						

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SCHEDULE IV — TRANSACTIONS

Name ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP/DC/JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	x			10-12-97		x								
SP	ASPECT DEVELOPMENT INC	X			11-07-97				X						
SP	ASPECT DEVELOPMENT INC		X		12-10-97				X						
SP	ASPECT DEVELOPMENT INC	X			11-07-97				X						
SP	ASPECT DEVELOPMENT INC		X		12-12-97				X						
SP	CALL DELL COMPUTER DEC 095 PBW	X			12-12-97	X									
SP	CALL DELL COMPUTER DEC 095 PBW		X		12-16-97	X									
SP	DELL COMPUTER CORP	X			12-09-97				X						
SP	DELL COMPUTER CORP		X		12-17-97				X						
SP	CALL S&P 100 INDX DEC 480 CBOE	X			11-24-97		X								
SP	CALL S&P 100 INDX DEC 480 CBOE		X		12-24-97	EXPIRED									
SP	APPLIED MATERIALS INC	X			12-10-97					X					
SP	APPLIED MATERIALS INC		X		12-24-97					X					
SP	APPLIED MATERIALS INC	X			12-10-97					X					
SP	APPLIED MATERIALS INC		X		12-29-97					X					
SP	DELL COMPUTER CORP	X			12-09-97						X				
SP	DELL COMPUTER CORP		X		12-29-97					X					

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SCHEDULE IV — TRANSACTIONS

Name: ELLEN O. TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT SP	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-97		X								
SP	DELL COMPUTER CORP	X			12-09-97						X				
SP	DELL COMPUTER CORP		X		12-30-97						X				
SP	DELL COMPUTER CORP	X			12-16-97				X						
SP	DELL COMPUTER CORP		X		12-30-97					X					
SP	ZITEL CORP	X			01-03-97						X				
SP	ZITEL CORP		X		02-26-97						X				
SP	CITRIX SYSTEMS INC	X			10-23-97					X					
SP	CITRIX SYSTEMS INC		X		10-27-97					X					

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St., Dover, Del*				x						
JT	Summit Bank	Line of Credit							X			
SP	Ford Motor Credit	Promissory Note/Floor Plan						X				
SP	Comerica Bank	Line of Credit								X		
SP	Bear Stearns Securities Corp.	Margin Securities Account								X		

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Democratic Leadership Council	May 2-3	Wash., DC - Charleston, SC - Washington, DC	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
DIRECTOR	WOMEN'S FORUM LEGACY FOUNDATION
DIRECTOR	ALUMNAE RESOURCES

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

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HAND DELIVERED
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers and employees

Wilbert Joseph Tauzin, II
(Full Name)

2183 Rayburn Building
(Mailing Address)

Washington DC 20515

Daytime Telephone 202/225-4031

Filer Status	[X] Member of the U S House of Representatives	State LA District 03	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL: W. J. Billy Tauzin

DATE (Month/Day/Year): May 13, 1998

4109

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Congressional Management Foundation	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package For further information, see Instructions, pages 13-14

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash , D C	Speech	Feb 2, 1994	$2,000
	XYZ Magazine	Article	Aug 13, 1994	$500
	Natl. Environmtl Policy Institute/Wash ,DC	Speech in '96/Charit donations '97	04/23/96	$1,000 0
	ALTV/Wash , DC	Speech	01/13/97	$2,000 0
	American Financial Services,Wash., DC	Speech	10/05/97	$2,000 0

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP, DC, JT	*Examples* SP Mega Corp Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	AllAmerica	$15,001 - $50,000	Interest	$1,001 - $2,500	
	AllAmerica	None	Dividends	None	NA
	Wright Patman Credit Union	$15,001 - $50,000	Dividends	$201 - $1,000	NA
	Secor Bank IRA	$15,001 - $50,000	Interest	$201 - $1,000	NA
	Putnam IRA HI Yield Trust	$1,001 - $15,000	Interest	$201 - $1,000	NA
	Irst Interstate Bank IRA	$15,001 - $50,000	Interest	$201 - $1,000	NA
	St. Chas. Royalle Subdivision (see page 10)	$15,001 - $50,000	Bond for Deed	$15,001 - $50,000	NA
	Investment Income, Wingate, MD	$100,001 - $250,000	Rent & Timber sales	$15,001 - $50,000	NA

4112

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Mercantile Mortgage Corp	Mortgage-Investment acreage	$100,001 - $250,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Winn Dixie	Jan 17-19	DC-Jacksonville,FL-DC	Y	Y	N	N
CTIA (Cellular Telecomm.)	Mar 2-3	Palm Springs-San Francisco-DC	Y	Y	Y	n
NCTA	Mar 15-17	DC-New Orleans (Travel not at sponsor's expense	Y	Y	N	n
American Gas Assn	May 16-17	DC-Williamsburg,VA-DC	Y	Y	Y	n
Western States Caucus	Aug 28-31	DC-Salt Lake-Boise-W Yellowstone-Casper-W Yellowstone-Salt Lake-DC	Y	Y	Y	Y (1 day)
NAB	Sept 19-22	DC-New Orleans-DC	N	N	Y	n
Citizens for a Sound Economy	Oct 10-12	DC-Columbus,OH-Cincinnati-Bakersfield,CA-DC	Y	Y	N	n
Citizens for a Sound Economy	Oct 16-18	DC-Atlanta-Chicago-DC	Y	Y	N	n
Citizens for a Sound Economy	Nov 20-21	DC-Dallas-DC	Y	Y	N	n
Winn Dixie	Dec 2-4	DC-Jacksonville, FL-DC	Y	Y	N	n
Citizens for a Sound Economy	Dec 8	DC-OKC-Phoenix-DC	Y	Y	N	n

Schedule III.
Assets and Unearned Income

St. Charles Royalle Subdivision

Lot 13, Block 10
1/2 undivided interest in Lot 6, Block 6
1/2 undivided interest in South 1/2 Lot 9, Block 10
Lot 6, Block 5 (Bond for deed)
Lot 7, Block 5 (Bond for deed)

Investment Income

Location: 2616 Fallon Road
Wingate, Maryland 21675

98 MAY 15 PM 3:23

HAND DELIVERED

HC

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997	Form A For use by Members, officers, and employees

CHARLES HART TAYLOR
(Full Name)

231 CANNON BUILDING
(Mailing Address)

WASHINGTON DC 20515 — Daytime Telephone 202-225-6401

Filer Status	[X] Member of the U S House of Representatives	State NC District 11	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL: Charles H. Taylor

DATE (Month/Day/Year): 5-15-98

4116

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	FINANCIAL GUARANTY CORPORATION	SPOUSE DIRECTOR FEE	NA
	FINANCIAL GUARANTY CORPORATION	SPOUSE GUARANTY FEE	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC JT	*Examples* SP Mega Corp. Stock 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	TRANSYLVANIA TREE FARMS	$1,000,001 - $5,000,000	NONE	None	NA
SP	SOUTHEASTERN REAL ESTATE AND DISCOUNT COMPANY	$1,000,001 - $5,000,000	Rent	$100,001 - $1,000,000	NA
	CEDAR CREEK FARMS PARTNERSHIP, NOTE RECEIVABLE FROM THOMPSON ET AL	$1,001 - $15,000	Interest	$201 - $1,000	NA
	NOTE RECEIVABLE FROM MAGGIE VALLEY DEVELOPMENT CORPORATION	$250,001 - $500,000	Interest	$5,001 - $15,000	NA

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC JT	*Examples* SP Mega Corp Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	TRANSYLVANIA TREE FARMS	$1,000,001 - $5,000,000	NONE	None	NA
SP	SOUTHEASTERN REAL ESTATE AND DISCOUNT COMPANY	$1,000,001 - $5,000,000	Rent	$100,001 - $1,000,000	NA
	CEDAR CREEK FARMS PARTNERSHIP, NOTE RECEIVABLE FROM THOMPSON ET AL	$1,001 - $15,000	Interest	$201 - $1,000	NA
	NOTE RECEIVABLE FROM MAGGIE VALLEY DEVELOPMENT CORPORATION	$250,001 - $500,000	Interest	$5,001 - $15,000	NA

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	FINANCIAL GUARANTY CORPORATION	Purchase	2/24/97	$1,001 - $15,000
	MOUNTAIN BANK STOCK	Purchase	10/01/97	$1,001 - $15,000
	FIRST WESTERN BANK STOCK	Purchase	10/01/97	$1,001 - $15,000
	FINANCIAL GUARANTY CORPORATION STOCK	Purchase	4/28/97	$1,001 - $15,000
	FINANCIAL GUARANTY CORPORATION STOCK	Purchase	8/04/97	$500,001 - $1,000,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	WILLIAM BANKS ET AL BURNSVILLE, NC	PURCHASE OPTION NOTE	$100,001 - $250,000
DC	BREVARD SAVINGS AND LOAN	MORTGAGE ON RFD HIGHWAY 54 (HOUSE) BREVARD, NC	$15,001 - $50,000

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Organization
BOARD CHAIRMAN (UNCOMPENSATED)	BLUE RIDGE SAVINGS BANK, ASHEVILLE, NC

CHARLES H. TAYLOR
11TH DISTRICT, NORTH CAROLINA

MEMBER
COMMITTEE ON
APPROPRIATIONS

SUBCOMMITTEE ON
COMMERCE, JUSTICE, STATE

SUBCOMMITTEE ON
INTERIOR

SUBCOMMITTEE ON
DISTRICT OF COLUMBIA
CHAIRMAN

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HAND DELIVERED

Congress of the United States
House of Representatives
Washington, DC 20515-3311

22 SOUTH PACK SQUARE
SUITE 330
ASHEVILLE, NC 28801-3000
(704) 251-1988

231 CANNON BUILDING
WASHINGTON, DC 20515-3311
(202) 225-6471

HENDERSONVILLE OFFICE
(704) 697-8939

MURPHY OFFICE
(704) 837-3245

RUTHERFORDTON OFFICE
(704) 286-8750

SHELBY OFFICE
(704) 484-6571

INTERNET ADDRESS
repcharles@mail.house.gov

May 22, 1998

The Honorable James V. Hansen
Chairman
Committee On Standards of Official Conduct
Suite HT-2 The Capitol, Washington, D.C. 20515

3

MC

Dear Jim:

Due to a cerical error, two sheets of page three and no page four were filed as part of my 1997 Financial Disclosure Report. I have enclosed additional copies of the appropriate pages.

Sincerely,

Charles

Charles H. Taylor
Member of Congress

CHT/raf

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Financial Guaranty Corporation stock	$5,000,001 - $25,000,000		None - $200	
	McCrae Industries stock	None - $1,000	Dividends	None - $200	
	Monte Vista Corporation Stock	$1,000,001 - $5,000,000		None - $200	
	Riverside Company Estates Partnership, Brevard, NC	$1,001 - $15,000		None - $200	
	Haywood Savings Bank stock, Waynesville, NC	$1,001 - $15,000	Dividends	None - $200	
	Gaybo Company Partnership	$100,001 - $250,000	Capital Gains	$15,001 - $50,000	
	Major Land and Timber Partnership, Haywood County NC	$1,000,001 - $5,000,000		None - $200	
JT	Taylor Family Trust (Farm in Transylvania County, NC)	$1,000,001 - $5,000,000		None - $200	
	NC State Employees Pension Fund	$1,001 - $15,000		None - $200	
	IRA Blue Ridge Savings Bank	$1,001 - $15,000	Interest	None - $200	
	Mountain Bank Stock	$1,001 - $15,000	None	None - $200	P
	First Western Bank Stock	$1,001 - $15,000	None	None - $200	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC JT	*Examples* SP Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Transylvania Tree Farms	$1,000,001 - $5,000,000			
SP	Southeastern Real Estate and Discount Company	$1,000,001 - $5,000,000	Rent	$100,001 - $1,000,000	
	Cedar Creek Farms Partnership, note receivable from Thompson et al	$1,001 - $15,000	Interest	$201 - $1,000	
	Note receivable from Maggie Valley Development Corp	$250,001 - $500,000	Interest	$5,001 - $15,000	
DC	RFD Old Highway 64, Brevard, NC (house)	$15,001 - $50,000	Rent	$2,501 - $5,000	
JT	Blue Ridge Savings Bank Accounts	$15,001 - $50,000	Interest	$5,001 - $15,000	
SP	Blue Ridge Savings Bank stock	$1,000,001 - $5,000,000	Dividends	$100,001 - $1,000,000	
	Note receivable from Financial Guaranty Corporation	$100,001 - $250,000	Interest	$5,001 - $15,000	

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

GARY EUGENE TAYLOR
814 N BEACH BLVD.
BAY ST LOUIS, MS 39520

(Full Name) (Mailing Address) (Daytime Telephone)

MC HAND DELIVERED
(Office Use Only)

Filer Status: [✓] Member of the U.S. House of Representatives — State MS District 5 [ ] Officer or Employee — Employing Office

Report Type: [✓] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [ ] No [✓]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [ ] No [✓]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [ ] No [✓]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [ ] No [✓]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [ ] No [✓]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [✓]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [ ] No [✓]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [ ] No [✓]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [✓]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Data is regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [✓]

EXEMPTION—Have you excluded from this report any other assets, unearned income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [✓]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report, may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4 §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Gary Taylor — DATE (Month/Day/Year): 5/11/98

4126

Name Gary Eugene Taylor | Page 2 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E (P, S, E)
SP	Examples					X								X										X								
DC				Indefinite																Royalties									X			
JT							X									X										X						
	G E Taylor Inc. (shares)			X																	X											
	Peoples Bank Acct.		X													X						X										

For additional assets and unearned income, use next page.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

William Marshall Thomas
(Full Name)

2208 Rayburn House Office Building
Washington, DC 20515
(Mailing Address)

225-2915
Daytime Telephone

MC
(Office Use Only)

Filer Status [X] Member of the U.S. House of Representatives — State CA District 21 [ ] Officer or Employee — Employing Office

Report Type [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL William M. Thomas

DATE (Month/Day/Year) May 14, 1998

Name	Page 1 of 8
William M. Thomas	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Paul Mellon/Rokeby Farms	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page 2 of 8
William M. Thomas	

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
Examples XYZ Magazine	Article	Aug. 13, 1997	$500
American Academy of Opthalmology	Speech	Jan. 24, 1997	$2,000
American Hospital Association	Speech	Jan. 27, 1997	$2,000
California Healthcare Association	speech	Jan. 27, 1997	$2,000
American Academy of Orthopaedic Surgeons	Speech	Feb. 14, 1997	$2,000
SIT Investment Associates	Speech	Feb. 15, 1997	$2,000
Baker & Hostetler Tax Conference	Speech	Feb. 25, 1997	$2,000
Merck Pharm.	Speech	March 4, 1997	$2,000
Society of Cardiovascular & Interventional Radiology	Speech	March 11, 1997	$2,000
American Medical Group Association	Speech	April 14, 1997	$2,000
Home Care Association	Speech	April 15, 1997	$2,000
Healthcare Leadership Council	Speech	June 3, 1997	$500.00

This page may be copied if more space is required.

Name: William M. Thomas

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependant child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah KY accounts						X									X										X						
	1/4 interest in 15836 Mt. View, Nevada City				(*)										X								X									
	Teacher Retirement STRS California			X																	X											

For additional assets and unearned income, use next page.

LE III — ASSETS AND "UNEARNED" INCOME

on Sheet (if needed)

Name

Page 4 of 8

BLOCK A set and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P. S. E.

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SCHEDULE IV — TRANSACTIONS

Name William M. Thomas

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset		Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example*	Mega Corporation Common Stock	X			10–12–97		X								
	None															

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Name William M. Thomas

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example. First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Allied Savings Bank, Santa Rosa, CA	Mortgage on 15836 Mt. View										
		Nevada City, California	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
National Farmer Cooperatives	Jan. 12-13, 1997	Wash-San Diego-Bakersfield-Wash.	Y	Y	N	1 day
American Academy of Orthopaedic Surgeons	Feb. 13-15, 1997	Wash.-San Fran-Palm Springs	Y	Y	N	N
SIT Investment Associates	Feb. 15-16, 1997	Palm Springs-Bakersfield	Y	Y	N	N
Congressional Institute	Jan. 21-23, 1997	Wash.-Airlie, VA-Wash.	Y	Y	N	N
Aspen Institute	Mar. 7-9, 1997	Wash.-Hershey, PA-Wash.	Y	Y	Y	N
Aspen Institute	Mar.31-Apr 7, 1997	Wash.-Hawaii-Wash.	Y	Y	Y	1 day
Castle & Cook	Apr. 5,1997	Lanai, Hawaii	Y	Y	Y	N
Ripon Educational Fund	Aug. 6-16, 1997	Wash-Prague-Wash.	Y	Y	Y	3 days
Harvard Kennedy School of Gov't	Nov.18-22, 1997	Wash-Boston-Wash.	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member of Board	American Council of Young Political Leaders (uncompensated)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1974	Kern Community College District	on leave without pay

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Bennie G. Thompson
(Full Name)

1031 L.C. Fisher Circle
Bolton
(Mailing Address)
MS 39041

Daytime Telephone
202-225-5876

(Office Use Only)

Filer Status					
	[X] Member of the U.S. House of Representatives	State MS District 02	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II — Yes [X] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If yes, complete and attach Schedule IV — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS: Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL — DATE (Month/Day/Year) 05/14/98

4137

Name Bennie G. Thompson	Page ___ of ___

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Hinds County Schools	Spouse Salary	NA
	Town Of Bolton Development Corporation	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Bennie G. Thompson | Page __ of __

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see Instructions, pages 13-14.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C. XYZ Magazine	Speech Article	Feb. 2, 1994 Aug. 13, 1994	$2,000 $500
	Atlanta Black United Fund Local Federation	Speech	6-14-97	$1,000.00
	Atlanta Black United Fund Local Federation	Speech	6-14-97	$1,000.00
	Mississippi Black Caucus of Local Elected Officials	Speech	7-14-97	$150.00
	The Connell Rice Company	Speech	12-7-97	$1,000.00
	The Connell Rice Company	Speech	12-7-97	$500.00
	The Connell Rice Company	Speech	12-7-97	$500.00

Name Bennie G Thompson | Page ___ of ___

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A Asset and/or Income Source Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see instructions, pages 14-20	BLOCK B Value of Asset at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C Type of Income If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E Transaction Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP, DC, JT	Examples: SP 123 Main St. Dover, Del Mega Corp. Stock 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Jackson Federal Credit Union	$1,001 - $15,000	Interest	$201 - $1,000	NA
SP	Jackson Federal Credit Union	$1,001 - $15,000	Interest	$1 - $200	NA
DC	Magnolia Federal Bank Account	$1,001 - $15,000	Interest	$1 - $200	NA
SP	Magnolia Federal Bank Account	$50,001 - $100,000	Interest	$1,001 - $2,500	NA
	Mississippi State Retirement Plan	$50,001 - $100,000	Excepted Trust	None	NA
SP	Mississippi State Retirement Plan	$50,001 - $100,000	Excepted Trust	None	NA
SP	Mississippi Deferred Compensation Plan	$15,001 - $50,000	Excepted Trust	None	NA
SP	The Pension Board NY,NY	$15,001 - $50,000	Excepted Trust	None	NA

Name Bennie G. Thompson | Page ___ of ___

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	Valic Annuity Plan	$15,001 - $50,000	Interest	$1,001 - $2,500	NA
	Equitable Annuity	$15,001 - $50,000	Interest	$1,001 - $2,500	NA
	Congressional Federal Credit Union	$1,001 - $15,000	Interest	$201 - $1,000	NA
H	Magna Bancorp, Inc. (Stock)	$15,001 - $50,000	Dividends	$201 - $1,000	NA
H	Lot 104 L.C. Turner Circle Bolton, MS	$15,001 - $50,000	Capital Gains	None	NA
H	Lot 105 L.C. Turner Circle Bolton, MS	$15,001 - $50,000	Capital Gains	None	NA
H	Lot Pearl Street Bolton, MS	$15,001 - $50,000	Capital Gains	None	NA
	Dwelling, 212 Sharon Street Bolton, MS	$50,001 - $100,000	Capital Gains	None	NA
	2 acres, Northside Drive, Bolton MS	$1,001 - $15,000	Capital Gains	None	NA
	1 acre, Mt. Olive Rd. Bolton	$1,001 - $15,000	Capital Gains	None	NA
	1 acre, Old Fairground Rd. Edwards, MS	$1,001 - $15,000	Capital Gains	None	NA
H	3539 Brame, Jackson, MS	None	Destroyed by Fire 7/97. Rent	$201 - $1,000	NA
H	3838 Brame, Jackson, MS	$50,001 - $100,000	Rent	$2,501 - $5,000	NA
H	4257 Johnson Ct. Jackson, MS	$50,001 - $100,000	Rent	$2,501 - $5,000	NA
H	Chalet Village Apts, Jackson, MS	$50,001 - $100,000	Rent	$100,001 - $1,000,000	NA

Name Bennie G Thompson	Page ___ of ___

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* only if the balance at the end of the reporting period exceeded $10,000. For further information, see instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
JT	Colonial MortgageCo., Alabama	Mortgage, 4257 Johnson Court (Jackson,MS)	$10,001 - $15,000
JT	Bailey Mortgage Co., Arkansas	Mortgage, 3838 Braine, Jackson MS	$10,001 - $15,000
JT	Deposit Guaranty National Bank, MS	Mortgage,Chalet Village	$500,001 - $1,000,000
	Delta Capital Corp., Greenville, MS	Mortgage, Chalet Village	$15,001 - $50,000
	Trustmark National Bank,MS	Mortgage,3231 & 3 W. Capital, Jackson	$50,001 - $100,000

Name Bennie G. Thompson	Page of

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
National Black Mayors Association	April 25 & 26, 1997	Jack MS-St. Louis-Jack MS	Y	Y	N	n
Artic Oil Reserve	August 24-31	Jack MS-Alaska-Jack MS	Y	Y	N	n
The Tobacco Institute	February 13-16 1997	Jack MS-Arizona-Jack MS	Y	Y	N	n
National Security Caucus	January 28-February 1, 1997	Jack MS-Mariana Island-Jack MS	Y	Y	N	n

Name Bennie G. Thompson	Page ___ of ___

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
President	BLB Properties
Sole Proprietor	Chalet Village Apartments
Trustee	Tougaloo College Board of Trustee
Board Member	Tougaloo College Economic Development Corp
Board Member	Housing Assistance Council
Board Member	Board of Govenor Democratic Club

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HAND DELIVERED

HOUSE OF REPRESENTATIVES
WASHINGTON, D.C. 20515

May 19, 1998

BENNIE G. THOMPSON
SECOND DISTRICT
MISSISSIPPI

1408 LONGWORTH BUILDING
WASHINGTON, D.C. 20515-2402
(202) 225-5876

1

Ms. Robin Carle
Clerk
U.S.House of Representatives
B-106 Cannon House Office Bldg
Washington, D.C. 20515

MC

Dear Ms. Carle:

Please accept this letter as an amendment to my Financial Disclosure Statement for the calendar year 1997. The items to be amended are as follows:

1. Schedule III Assets and " Unearned " Income: Please add property at 3231 & 3233 West Capital (Jackson, MS). I still own the property..

2. Schedule III Assets and" Unearned" Income: The value for Chalet Village Apartments (Jackson, MS), Block B, Value of Asset should read: 100,001-$1,000,00 and Block D, Amount of Income should read: $ 50,001-$ 100,000.

Please do not hesitate to contact me should you wish to discuss this matter further. In my absence, you may speak with my Office Manager, Ms. Minnie P. Langham, who handles my confidential matters. Thank you for your assistance in amending my original forms.

Sincerely,

Bennie G. Thompson
Member of Congress

BGT:ml

Not printed at government expense

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
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HAND DELIVERED
(Office Use Only)

(6)

William McClellan "Mac" Thornberry
(Full Name)

412 Cannon HOB
(Mailing Address)

Washington DC 20515

Daytime Telephone (202) 225-3706

Filer Status	[X] Member of the U.S. House of Representatives	State TX District 13	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment		[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent chld receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5-14-98

4146

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000 For further information, see Instructions, pages 12-13

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	St Aidan's Episcopal Day School	Spouse Salary	NA
	Congressional Quarterly	Spouse Compensation	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source**	BLOCK B **Value of Asset**	BLOCK C **Type of Income**	BLOCK D **Amount of Income**	BLOCK E **Transaction**
Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block.	For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP / DC / JT *Examples* — SP — Mega Corp Stock 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
1/3 ownership Thornberry Brothers Cattle Operation, Clarendon, TX	$15,001 - $50,000	Partnership Income	$2,501 - $5,000	
CD - First National Bank of Amarillo	$1,001 - $15,000	Interest	$1 - $200	
Congressional Federal Credit Union Accounts	$1,001 - $15,000	Interest	$1 - $200	

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Amarillo National Bank - Thornberry Brothers	Cattle Loan	$15,001 - $50,000
	First National Bank of Amarillo	Personal Loan	$15,001 - $50,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Aspen Institute (Bipartisan Retreat)	March 7-9, 1997	Washington, D.C. - Hershey, PA - Washington, D.C.	Y	Y	Y	N

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization; partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Organization
Partner	Thornberry Brothers, Cattle Business, Clarendon, Texas

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

JOHN R. THUNE
(Full Name)

2779 N. WAKEFIELD ST
ARLINGTON, VA 22207
(Mailing Address)

(202) 225-2801
Daytime Telephone

HAND DELIVERED (6)

MC
(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State SD District AL	☐ Officer or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g. salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☑	No ☐
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: John R. Thune

DATE (Month/Day/Year): 5/15/98

4152

Name	Page 2 of 6
JOHN R. THUNE	

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 1997	$500
BRITTON, SD VFW	SPEECH	11-11-97	$100

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Name JOHN R. TWINE | Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income, Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E, P
SP	SP Mega Corp. Stock					X								X																		
DC	Examples: Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah KY accounts						X									X									X							
JT	SOUTHWEST SECURITIES (NONDISCRET)			X												X						X										
	FIDELITY MAGELLAN (IRA)				X									X			X				—	—	—	—	NA	—	—	—	—	—	—	
JT	VOYAGEUR NAT'L INSURED			X												X	X					X										
	PIONEER II (IRA)			X										X			X				—	—	—	—	NA	—	—	—	—	—	—	
	ICA (IRA)			X										X			X					—	—	—	NA	—	—	—	—	—	—	
JT	SELIGMAN FUNDS			X										X			X					X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN R. THUNE

Page 4 of 6

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	NORWEST CHECKING			X												X						X									
	SDRS RETIREMENT			X																					NA						
	1609 Circle Dr, Pierre, SD ↳ RESIDENCE RENTAL						X								X										X						

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	BANK OF AMERICA MORTGAGE, ST. PAUL, MN	MORTGAGE ON 1609 CIRCLE DR. PIERRE, SD			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
KEEP SOUTH DAKOTA GREEN COMMITTEE	COMMEMORATIVE PRINT	$ 550
NORMAN SEEBACK, WALL, SD	LODGING AT FAMILY OWNED CABIN	$ 500
OGLALA LAKOTA COLLEGE	STAR QUILT	$ 500

Use additional sheets if more space is required.

Name JOHN R. THUNE | Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash. D.C.—Chicago—Wash. D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash. D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	CONGRESSIONAL INSTITUTE L HOUSE LEADERSHIP CONFERENCE	1/21-23		Y	Y	N	
	BIOLA UNIVERSITY L SPEAKING ENGAGEMENT	10/11-14	WASH, DC - LA - WASH, DC	N	Y	Y	Y

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
99 MAY 18 AM 8 20

INSIDE MAIL (8)
(Office Use Only)

Karen Thurman
(Full Name)

9067 SW 190th Avenue Road
(Mailing Address)

Dunnellon FL 34432 — Daytime Telephone 202-225-1002

Filer Status	[X] Member of the U.S. House of Representatives	State FL District 05	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV **Did you, your spouse,** or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [ ] No [X]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [X] No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) — Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C.1001)

SIGNATURE OF REPORTING INDIVIDUAL: Karen Thurman

DATE (Month/Day/Year): 5/15/98

Name Karen Thurman	Page ___ of ___

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of Florida	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Karen Thurman | Page ___ of ___

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC JT	*Examples* SP Mega Corp Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	IRA- Midstate Federal	$1,001 - $15,000	NA	NA	
SP	IRA- Midstate Federal	$1,001 - $15,000	NA	NA	
SP	Deferred Compensation State of Florida- Aetna Insur	$15,001 - $50,000		None - $200	
SP	SunBank- Dunellon, FL	None - $1,000		None - $200	
	Dunellon Savings Bank	None - $1,000		None - $200	
DC	Fl Prepaid College Tuition (Two Accounts)	$1,001 - $15,000		None - $200	
	12097 Palmetto Way, Dunellon, FL	$100,001 - $250,000		$15,001 - $50,000	S
	Wright-Patman CFCU	None - $1,000	Interest	None - $200	
	1515 Paul Russell Rd Tallahassee, FL	$15,001 - $50,000	Rent	None - $200	

Name Karen Thurman | Page ____ of ____

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

4411 SW 34th St Gainesville, FL	$15,001 - $50,000		None - $200	P

Name Karen Thurman	Page __ of __

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,J	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Barnett Bank, Inverness FL	1/3 Guarantor on loan	$15,001 - $50,000
SP	Barnett Bank, Inverness FL	1/3 Guarantor on loan	$15,001 - $50,000
	Barnett Bank, Inverness FL	1/3 Guarantor on loan	$10,001 - $15,000
SP	Barnett Bank, Inverness FL	1/3 Guarantor on loan	$10,001 - $15,000
	Barnett Bank, Inverness FL	Mortgage on 1515 Paul Russell st, Tallahassee, FL	$50,001 - $100,000
	Northwest Bank, Brooksville, FL	Mortgage on 4411 SW 34th St	$15,001 - $50,000

Name Karen Thurman | Page ___ of ___

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	12097 Palmetto Way, Dunnellon	Sold	03/31/97	$100,001 - $250,000
	4411 SW 34th St Gainesville	Purchase		$15,001 - $50,000

Name Karen Thurman	Page ___ of __

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, on any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Member- Board of Directors (unpaid)	FL Future Farmers of America Foundation

Name Karen Thurman	Page __ of __

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26-27

Date	Parties To	Terms of Agreement
1982	Marion County School Board	Leave of absence durnig period of government service

KAREN L. THURMAN
5TH DISTRICT, FLORIDA
WASHINGTON OFFICE
440 CANNON BUILDING
WASHINGTON, DC 20515
202-225-1002

COMMITTEE ON WAYS AND MEANS
SUBCOMMITTEE ON OVERSIGHT

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Congress of the United States
House of Representatives
Washington, DC 20515

INSIDE MAIL

May 22, 1998

Rep. James Hansen
Chairman, House Committee on
Standards of Official Conduct
HT-2, The Capitol
Washington DC 20515

98 MAY 27 AM 9 25
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
RECEIVED
U.S. HOUSE OF REPRESENTATIVES

Dear Mr. Chairman:

Enclosed are schedules III and IV as amended for my 1997 Financial Disclosure. Please substitute these pages for the pages originally submitted

Your assistance is greatly appreciated.

Sincerely,

Karen

Karen L. Thurman
Member of Congress

KLT/ss

HOME OFFICES

2224 HIGHWAY 44 WEST
INVERNESS, FL 34453
352/344-3044

5700 S.W. 34TH ST., SUITE 425
GAINESVILLE, FL 32608
352/336-6614

5609 U.S. 19 SOUTH, SUITE H
NEW PORT RICHEY, FL 34652
813/849-4496

TOLL FREE
1-800-833-4352

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) eadh asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used If an asset was sold and is included only because it generated income, the value should be "None"	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC JT	*Examples* SP Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	IRA- Midstate Federal	$1,001 - $15,000	NA	NA	
SP	IRA- Midstate Federal	$1,001 - $15,000	NA	NA	
SP	Deferred Compensation State of Florida- Aetna Insur	$15,001 - $50,000		None - $200	
SP	SunBank- Dunellon, FL	None - $1,000		None - $200	
	Dunellon Savings Bank	None - $1,000		None - $200	
DC	Fl Prepaid College Tuition (Two Accounts)	$1,001 - $15,000		None - $200	
	12097 Palmetto Way, Dunellon, FL	$100,001 - $250,000		$15,001 - $50,000	S
	Wright-Patman CFCU	None - $1,000	Interest	None - $200	
	1515 Paul Russell Rd Tallahassee FL	$15,001 - $50,000	Rent	None - $200	

Name Karen Thurman | Page ____ of ____

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

4411 SW 34th St Gainesville, FL	$15,001 - $50,000	Rent	$1,001 - $2,500	P

Name Karen Thurman	Page ___ of ___

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	12097 Palmetto Way, Dunnellon	Sold	03/31/97	$100,001 - $250,000
	4411 SW 34th St Gainesville	Purchase	7/97	$15,001 - $50,000

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

William Todd Tiahrt
(Full Name)

428 Cannon Office Building
(Mailing Address)

Washington, DC 20516

Daytime Telephone
(202) 225-6216

ML (Office Use Only) (5)

Filer Status	[X] Member of the U.S. House of Representatives — State Kansas District 4th	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [ ]	No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL Todd Tiahrt **DATE** (Month/Day/Year) 5/14/98

4170

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: William Todd Tiahrt

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, or E
SP	Mega Corp. Stock					X								X										X								P
DC	Examples: Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
JT	AT&T Corporation			X										X								X		Transferred from Charles								
JT	Boeing Co.			X										X								X		Schwab to Dean Witter								
JT	WAL MART Stores, Inc.			X										X								X		account in 1997								
JT	Dean Witter Equity Trust			X																		X										P
JT	Dean Witter Money Market Account			X										X									X									

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name William Todd Tiahrt

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	KPERS – Kansas Public Retirement			X											N/A																	
	Boeing Financial Security Plan				X										N/A																	
	Boeing Voluntary Investment Plan						X								N/A																	
JT	NationsBank Checking Account			X												X						X										
	Boeing Credit Union Checking Account			X												X						X										
	Boeing Credit Union Savings Account			X												X								X								
JT	Charles Schwab Account	Transferred to Dean Witter in 1997																														
JT	United Gold and Government Fund	Sold for less than $1,000 in 1997																														
JT	Suburban West State Bank	Accounts were less than the threshhold in 1997																														
JT	Lucent Technologies		X											X									X									
	A/G Loan Fund		X													X							X			Did not meet reporting threshold in 1996						

Boeing Retirement Program in 1996

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4172

SCHEDULE IV — TRANSACTIONS

Name William Todd Tiahrt

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
JT	Dean Witter Equity Trust	X			10-23-97	X									
JT	A/G Loan Fund		X		4-7-97	X									

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Name William Todd Tiahrt | Page 5 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute	March 7-9	Wash., D.C. - Hershey, PA - Wash., D.C.	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 20 AM 10: 41

John F. Tierney
(Full Name)

15 Linden Ave
(Mailing Address)

SALEM MA. 01970

Daytime Telephone
978-745-7663

HAND DELIVERED
(Office Use Only)

9

Filer Status	[✓] Member of the U.S. House of Representatives — State MA District SIXTH	[ ] Officer or Employee	Employing Office
Report Type	[✓] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: John F. Tierney

DATE (Month/Day/Year): 5.6.98

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	No earned income for filer other than current employment by the U.S. Government		

For payments to charity in lieu of honoraria, use Schedule II.

Name John F. Tierney

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash. D.C.	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500

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SCHEDULE III – ASSETS & "UNEARNED" INCOME
John F. Tierney

	Block A Asset and/or Income Source	Block B Value of Asset	Block C Type of Income	Block D Amount of Income	Block E Transaction
	Talk Realty Trust - 1/4 interest 133 Washington St Salem MA	F	rent	VI	
	Emanon Trust - 1/8 interest N. Pine St. Salem MA	D	rent	I	
	Personal Promissary Notes (not interest bearing)	E	none	I	
	Smith Barney IRA:				
	SB Money Funds Govt Port Cl A	*C*	*dividends*	*II*	
	RES FDG Corp. Fed. Book	*C*	*cap. gain*	*II*	
	STRIPS-TINT-U S Treasury	*C*	*cap. gain*	*II*	
	STRIPS-TINT-U S Treasury	*C*	*cap. gain*	*II*	
	CATS PRIN-SER R-PRIN PMT ONN	*C*	*cap. gain*	*II*	
	STRIPS-TINT-U S Treasury	*C*	*dividends*	*II*	
	SB Growth & Income Fund CL B	*C*	*dividends*	*II*	
	SB Growth & Income Fund CL A	*C*			
	Smith Barney Money Funds Cash Port CL A	E	dividends	IV	P
	Cisco Sys Inc. Common Stock	C	dividends	I	P
	GTE Corp. Stock	C	dividends	I	P
	US West Inc. Stock	C	dividends	II	P
	Chase Capital IV CUM PFD Stock	C	dividends	I	P
	Freeport McMoran Copper & Gold Stock	C	dividends	I	P
	Wright Patman Federal Credit Union	C	interest	III	
	Eastern Bank	B	interest	II	
SP	Wright Medical Tech. Inc. Shares	Indeterminent	none at present	I	
SP	Resolution Trust - bene	Indeterminent	none at present	I	
SP	N.E.T. Inv. Trust - bene	F	none	I	
SP	SB Money Funds Cash Port CL A	E	dividends	VI	
SP	Bell South Corp. Stock	D	dividends	III	P
SP	Cabletron Sys Inc. Stock	C	dividends	I	P
SP	Chrysler Corp. Stock	C	dividends	III	P
SP	Cisco Sys Inc. Stock	C	cap. gain	V	P / S
SP	Cisco Sys Inc. Stock	C	dividends	I	P
SP	GTE Corp. Stock	C	dividends	III	P
SP	Volvo Aktiebolaget Adr B Stock	C	dividends	II	P
SP	Chase Capital IV Cum Pfd Stock	C	dividends	I	P
SP	Freeport McMoran Copper & Gold Stock	C	dividends	I	P

SCHEDULE III (continued)
John F. Tierey

SP	Mass. St. Water Pollution Municipal Bond	D	interest	III	P
SP	Mass. St. Port Auth Rev Municipal Bond	D	interest	III	P
SP	Sun Microsystems Inc.	C	cap gain	IV	P / S
SP	U.S. Treasury Bonds	C	cap. gain	IV	P / S
SP	U.S. Treasury Bonds	C	cap gain	IV	P / S
SP	Georgia Power Capital III	C	interest	III	P

SCHEDULE IV -- TRANSACTIONS
John F. Tierney

	Asset	Type of Transaction	Date	Amount of Transaction
	Smith Barney Money Market	Purchase	09/05/97	D
	Cisco Sys Inc. Common Stock	Purchase	12/18/97	B
	GTE Corp. Stock	Purchase	10/08/97	B
	US West Inc. Stock	Purchase	09/22/97	B
	Chase Capital IV CUM PFD Stock	Purchase	11/24/97	B
	Freeport McMoran Copper & Gold Stock	Purchase	12/18/97	B
SP	Bell South Corp. Stock	Purchase	02/24/97	B
SP	Cabletron Sys Inc. Stock	Purchase	09/22/97	B
SP	Chrysler Corp. Stock	Purchase	04/15/97	B
SP	Cisco Sys Inc. Stock	Purchase Sold	02/24/97 09/10/97	B B
SP	Cisco Sys Inc. Stock	Purchase	12/23/97	B
SP	GTE Corp. Stock	Purchase	10/08/97	B
SP	Volvo Aktiebolaget Adr B Stock	Purchase	02/26/97	B
SP	Chase Capital IV Cum Pfd Stock	Purchase	12/05/97	B
SP	Freeport McMoran Copper & Gold Stock	Purchase	12/23/97	B
SP	Mass. St. Water Pollution Municipal Bond	Purchase	04/09/97	C
SP	Mass. St. Port Auth Rev Municipal Bond	Purchase	04/15/97	C
SP	Sun Microsystems Inc	Purchase Sold	06/12/97 08/01/97	B B
SP	U.S. Treasury Bonds	Purchase Sold	03/17/97 09/22/97	B C
SP	U.S. Treasury Bonds	Purchase Sold	04/15/97 09/22/97	B C
SP	Georgia Power Capital III	Purchase	06/10/97	B

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	Eastern Bank Salem/Lynn MA. (Yr)	Mtg on 133 Washington St. Salem				X						
	Heritage Co-op Bank Salem, MA. (Yr)	Mtgon Emerson Trust property				5/8		1/8				
	(mortgages liabilities are total to Trust)											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Trustee,	Bd. of Trustees, Salem State College, Salem, Ma. until 5 year Term expired 5/93
Director	Bd. of Directors member, Alumni Assoc. Salem State College

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
12-31-96	Tierney Katis & Lucas / Robert I. Katis and Henry A. Lucas with John F. Tierney	Buyout of partnership interest

GPO: 1998 46-260 (mac)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

Esteban Edward Torres
(Full Name)

2269 RHOB
(Mailing Address)

Washington DC 20515

Daytime Telephone 2022255256

Filer Status	[X] Member of the U S House of Representatives	State CA District 34	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1 000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [ ] No [X]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (I e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [X] No [ ]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978 as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) May 14, 1998

4184

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Chrysler	pension	$14,748.00
	United Auto Worker	pension	$4,969.80

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account **Exclude:** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used If an asset was sold and is included only because it generated income, the value should be "None"	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP, DC, JT	*Examples* SP Mega Corp Stock 123 Main St, Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
JT	Wright Patman Credit Union Accounts	$1,001 - $15,000	Interest	$1,001 - $2,500	NA
JT	Dean Whitter American Value Mutual Fund	$1,001 - $15,000	Dividends	$1,001 - $2,500	S
JT	Dean Whitter Pacific Growth Mutual Fund	$1,001 - $15,000	Dividends	$1,001 - $2,500	S
JT	Rental Home 10019 Lomond Dr., Manassas, VA	$50,001 - $100,000	Rent	$5,001 - $15,000	NA
JT	IRA, Wright Patman Cong. Credit Union	None	IRA	None	IRA
JT	Merrill Lynch-Univision	$15,001 - $50,000	Dividends	None	NA
	Merrill Lynch-Deutsche-Tele	None	Dividends	None	NA

SCHEDULE IV — TRANSACTIONS

Name Esteban Edward Torres | Page 4 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
JT	Dean Whitter American Value Mutual Fund		X		7/1/97	X									
JT	Dean Whitter Pacific Growth Mutual Fund		X		7/1/97	X									

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SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
JT	Inland Mortgage Co	mortgage on 10019 Lomond Dr., Manassas, VA	$50,001 - $100,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you For further information, see Instructions, pages 24-26

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash , D C -Chicago-Wash , D.C	N	N	N	N
Mega Corporation	Aug 6-13	Wash , D C -Los Angeles-Cleveland	Y	Y	Y	4 Days
National Indian Gaming Assoc	3/2 - 3/4	LA-Palm Springs-LA	Y	Y	Y	none
Southwest Voter Research Institute	3/23	LA-San Antonio-LA	N	N	N	none
Aspen Institute	3/31-4/5	LA-Hawaii-LA	Y	Y	Y	none
Hispanic Council on Int'l Relations	5/18-5/20	DC-NY-DC	Y	Y	Y	none
Colegio Universitario del Este	6/19-6/22	DC-San Juan-DC	Y	Y	Y	none
Velazquez Institute	7/2-7/8	LA-Mexico City-DC	Y	Y	Y	none
National Council of La Raza	7/20-7/22	DC-Chicago-DC	Y	Y	N	none
Aspen Institute	8/18-8/23	DC-Dresden-DC	Y	Y	Y	none
Cuban-American Defense League	9/6-9/7	DC-Miami-DC	Y	Y	Y	none

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Regent	Smithsonian Institution
Trustee	Pan-American Development Foundation
Trustee	U S Committee-U N Children's Emergency Fund
Advisor	National Democratic Institute for International Affairs
Director	National Assoc of Latino Elected & Appointed Officials
Vice-Chairman	Congressional Hispanic Caucus Institute, Inc
Director	Coalition for Democratic Values
Member	UNA-USA Panel on UNESCO
Advisor	Big Brothers of Greater Los Angeles
Member	Southwest Voter Research Institute
Chairman	Hispanic Political Action Committee, Inc
Advisor	U S Marshal and Police Officers Association
Member	Hispanic Education Fund
Member	Pacific Council on International Policy
Member	U S Council on Foreign Relations

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Edolphus Towns
(Full Name)

286 Highland Boulevard
(Mailing Address)

Daytime Telephone

Brooklyn, New York 11207 (202) 225-5936

Filer Status	[X] Member of the U.S. House of Representatives	State NY District 10	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	X	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**		X
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	X	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	X	
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**		X
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**		X
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**		X
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	X	
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**		X

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?		X
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?		X

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL E. Towns

DATE (Month/Day/Year) May 15, 1998

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Name	E. Towns	Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Interfaith Medical Center	Spouse salary	NA
	New York City Board of Education	Spouse pension	NA
	Bereun Baptist Church	Approved Religious Service	$400
	Mt. Ararat Missionary Baptist Church	" "	$200
	Greater Bright Light Baptist Church	" "	$135
	Mount Ollie Baptist Church	" "	$200
	Bethel Baptist Church	" "	$135
	Messiah Baptist Church	" "	$170
	New Canaan Baptist Church	" "	$185
	Zion Shiloh Baptist Church	" "	$200
	The Evangelical Crusade	" "	$200

For payments to charity in lieu of honoraria, use Schedule II.

Name E. Towns | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500
	NONE			

This page may be copied if more space is required.

Name: E. Towns

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	F $50,001 – $100,000	G $100,001 – $250,000	$250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP, DC, JT	*Examples* Mega Corp Stock					X								X										X								P
	Simon & Schuster			Indefinite																Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Prudential Insurance			X										X									X									
	Mutual of America			X												X							X									
	NY Municipal Bond Fund			X										X		X							X									
	Wright-Patman FCU			X										X									X									
	East NY Savings Bank			X												X							X									
	National Westminister	Bk.		X												X							X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name E. Towns

Page 5 of 9

SP. DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
	Queens County Savings Bank (formerly Republic National Bank of NY)			X												X							X									

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SCHEDULE IV — TRANSACTIONS

Name E. Towns

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10–12–97		X								
	4304 Hawksnest Drive, Lutz FL	X			07-97				X						

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Countrywide Home Loan, Texas	Mort. on 4304 Hawksnest, Lutz, FL.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

None

Source		Description	Value
Example	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name E. Towns

Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash, D C —Chicago—Wash, D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash, D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	None						

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Shaw University
Board Member	Brookdale Medical Center

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1995

FORM A
For use by Members, officers, and employees

RECEIVED
98 APR 17 AM 9 22

APR 14 1998
HC
(Office Use Only)

(8)

James A. Traficant, Jr.
(Full Name)

429 N. Main Street
(Mailing Address)

Poland, Ohio 44514

Daytime Telephone
(330) 743-1914

Filer Status	[X] Member of the U S House of Representatives	State Ohio District 17th	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V**	Yes [X]	No [ ]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [X]	No [ ]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10–11.)	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties (*See* 5 U.S.C. app. 6, §104).

SIGNATURE OF REPORTING INDIVIDUAL JAMES A. TRAFICANT, JR.

DATE (Month/Day/Year) APRIL 10, 1998

4200

Name James A. Trafficant, Jr.	Page 1 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	LeImage Styling Salon	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II

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SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see Instructions, pages 13–14.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1994	$2,000
	XYZ Magazine	Article	Aug. 13, 1994	$500
	NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name James A. Traficant, Jr.

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

For further information, see Instructions, pages 14–20.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

If other than one of the listed categories, specify the type of income by writing a brief description in this block.

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	Type of Income	I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	Transaction P, S, E
Examples																								
SP	Mega Corp Stock				X								X		X									P
	123 Main St., Dover, Del							X						X						X				
	1st Bank of Paducah, KY accounts					X											X							
sp	13628 West Middletown Road					X								gas royalty		X								
	Aceto Corp. Stock	X											X						X					
	Congressional Fed. Credit Union			X											X				X					
sp	lot #242 Matthews Road, Boardman, OH			X										none					X					

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name James A. Traficant, Jr.

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20–21.

SP, DC, JT	Asset		Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example*	Mega Corporation Common Stock	X			10–12–95		X								
	NONE															

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21–22.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Internal Revenue Service	tax payment			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: House Rule 43, clause 4, prohibits most gifts exceeding $250. For further information, see Instructions, pages 22–23.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash, D.C.—Chicago—Wash, D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash, D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Ohio Safety Congress	March 27-28	Youngstown,OH-Columbus,OH Columbus,OH-Youngstown,OH	Y	Y	N	N
	Reform Party of California	June 20-21	Wash.National,DC-SanJose,CA SanJose,CA-Pittsburgh,PA	N	Y	N	N
	Capitol Tiger Bay Club	Aug.27-27	Pitts.,PA-Tallahassee,FLA Tallahassee,FLA-Pitts.,PA	N	Y	N	N
	Reform Party of Michigan	Aug.15-17	Pitts.,PA-Lansing,Michigan Lansing,Michigan-Pitts.,PA	Y	Y	N	N
	Reform Party of Texas	Sept.26-28	Wash.National,DC-Austin,TX Austin,TX-Wash.National,DC	Y	Y	N	N
	Reform Party National Convention	Nov.1-2	Wash.National,DC-KansasCity Kansas City-Wash.National,DC	Y	Y	N	N
	The One Hundred	Nov.20-21	Cleveland,OH-Ft.Lauderdale, FLA-Ft.Lauderdale-Cleveland	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, pages 25–26

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
Trustee	Northeast Ohio Energy Research and Development, Inc.
Trustee	Evening of Music, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, page 26

Date	Parties To	Terms of Agreement

GPO 1996 22-642 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members officers and employees

98 MAY 15 PM 1:38

James William (Jim) Turner
(Full Name)

203 Gordon Drive
(Mailing Address)

Crockett TX 75835

Daytime Telephone 409-544-8644

MC (Office Use Only)

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Filer Status	[X] Member of the U S House of Representatives	State TX District 02	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III Did you, your spouse or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1 000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions pages 10-11)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978 as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See S U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL: Jim Turner

DATE (Month/Day/Year): May 14, 1998

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SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of Texas Employee Retirement System	pension	$22,148.53

For payments to charity in lieu of honoraria, use Schedule II

Name	Page 3 of 24

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package For further information, see Instructions, pages 13-14

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash , D C	Speech	Feb 2, 1994	$2 000
	XYZ Magazine	Article	Aug 13, 1994	$500

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed;* list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U S Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC *Examples* JT	SP Mega Corp Stock 123 Main St, Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Turner Hardware & Construction Inc stock - Crockett, Texas	$100,001 - $250,000	Dividends	None	NA
	Citizens National Bank stock - Crockett, Texas	$15,001 - $50,000	Dividends	$5,001 - $15,000	NA
	Louisiana-Pacific stock	None	Dividends	$201 - $1,000	S
	U S Treasury Series E Bonds	$50,001 - $100,000	Interest	$5,001 - $15,000	NA
	Bank One, Austin accounts	$100,001 - $250,000	Interest	$5,001 - $15,000	NA
	First National Bank, Crockett accounts	$250,001 - $500,000	Interest	$15,001 - $50,000	NA

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	3.7 acres Masters Survey, Crockett	$250,001 - $500,000	Rent	$15,001 - $50,000	NA
	Lot, Building & Personal Business Property, 603 East Goliad, Crockett, TX	$100,001 - $250,000	Rent	$15,001 - $50,000	NA
	Duplex, Homewood Drive, Crockett, Texas	$50,001 - $100,000	Rent	$5,001 - $15,000	NA
	Lot, Treemont Subdivision, Austin, Texas	$100,001 - $250,000	non-income producing unimproved property	None	NA
	301 acre Connor/Ansley Survey, Houston Co., Texas	$250,001 - $500,000	Rent	$1,001 - $2,500	NA
	385 acre Bodilla Survey, Houston Co., Texas	$250,001 - $500,000	Rent	$1,001 - $2,500	NA
	Hughes & Luce Retirement Plan	$15,001 - $50,000	Interest	$1,001 - $2,500	NA
	Congressional Federal Credit Union	$15,001 - $50,000	Interest	$201 - $1,000	NA
	Schwab One Account Money Funds	$1,001 - $15,000	Dividends	$1,001 - $2,500	NA
SP	Schwab One Account	$1,001 - $15,000	Interest	$201 - $1,000	NA
SP	Fidelity Balanced Fund	None	Dividends	$1,001 - $2,500	S
SP	Fidelity Municipal Bond Fund	None	Interest	$1,001 - $2,500	S
SP	Estate of Sophia Ward	$15,001 - $50,000	Undistributed cash balance in estate	None	NA
	Air Touch Communications stock	$1,001 - $15,000	Dividends	None	P
	Barnes & Noble stock	$1,001 - $15,000	Dividends	None	P
	CDI Corporation stock	$1,001 - $15,000	Dividends	None	P
	DIY Home Warehouse stock	$1,001 - $15,000	Dividends	None	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Dell Computer stock	$1,001 - $15,000	Dividends	None	P
	Donna Karan stock	$1,001 - $15,000	Dividends	None	P
	Jackson Hewitt stock	$1,001 - $15,000	Dividends	None	P
	Misonix stock	$1,001 - $15,000	Dividends	None	P
	Moneygram Payment Systems stock	$1,001 - $15,000	Dividends	None	P
	Newmont Mining Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
	Peoplesoft, Inc stock	$1,001 - $15,000	Dividends	None	P
	Reliability, Inc stock	$1,001 - $15,000	Dividends	None	P
	Solomon Page Group stock	$1,001 - $15,000	Dividends	None	P
SP	1st Tenessee National stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	A G Edwards stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	ACX Technologies stock	$1,001 - $15,000	Dividends	None	P
SP	ADC Telecommunications stock	$1,001 - $15,000	Dividends	None	P
SP	AES Corporation stock	$1,001 - $15,000	Dividends	None	P
SP	Airtouch Communications stock	$1,001 - $15,000	Dividends	None	P
SP	Am International Group stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Amerisource Health stock	$1,001 - $15,000	Dividends	None	P
SP	Associated First Cap Corp. stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Baker Hughes stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Cable Design Technologies stock	$1,001 - $15,000	Dividends	None	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	CalEnergy stock	$1,001 - $15,000	Dividends	None	P
SP	Chancellor Media stock	$1,001 - $15,000	Dividends	None	P
SP	China Brilliance Auto stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Cisco Systems stock	$1,001 - $15,000	Dividends	None	P
SP	Clayton Homes stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	CMAC Investment Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Comp USA stock	$1,001 - $15,000	Dividends	None	P
SP	Compaq Computer stock	$1,001 - $15,000	Dividends	None	P
SP	Costco Companies stock	$1,001 - $15,000	Dividends	None	P
SP	Crescent Real Estate stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	CVS Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Cytec Industries stock	$1,001 - $15,000	Dividends	None	P
SP	D R Horton stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Dell Computer stock	$1,001 - $15,000	Dividends	None	Purchased, partial shares sold
SP	Dollar General Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Elan Corporation stock	$1,001 - $15,000	Dividends	None	P
SP	Eli Lilly stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	ENSCO International stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Erickson Tel stock	$1,001 - $15,000	Dividends	$1 - $200	Purchased, sold
SP	Ethan Allen Interiors stock	$1,001 - $15,000	Dividends	$1 - $200	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	Fannie Mae Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	General Nutrition stock	$1,001 - $15,000	Dividends	$1 - $200	Purchased, partial shares sold
SP	Gillette Co stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Global Marine stock	$1,001 - $15,000	Dividends	None	P
SP	Healthsoth Corp stock	$1,001 - $15,000	Dividends	None	P
SP	Health Care Prop Invest stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Hiberma Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Highwgods Properties stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Household International stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	J P Morgan stock	$1,001 - $15,000	Dividends	None	P
SP	Kennametal, Inc stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Kohls Corp stock	$1,001 - $15,000	Dividends	None	P
SP	LCI International stock	$1,001 - $15,000	Dividends	None	P
SP	Lincare Holdings stock	$1,001 - $15,000	Dividends	None	P
SP	Lucent Technologies stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Mack Cal I Realty stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	MBNA Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Medtronic, Inc stock	$1,001 - $15,000	Dividends	$1 - $200	Purchased partial shares sold
SP	MGIC Investment Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	Microsoft Corp stock	$1,001 - $15,000	Dividends	None	P
SP	Mid Ocean Limited stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Mutual Risk Management Ltd Co stock	$1,001 - $15,000	Dividends	None	P
SP	Nokia Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Onbancorp stock	$1,001 - $15,000	Dividends	None	P
SP	Pacific Century Financial stock	$1,001 - $15,000	Dividends	None	P
SP	Pacific Enterprises stock	$1,001 - $15,000	Dividends	None	P
SP	Pacific Gulf Properties stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Paychex Inc stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Peoplesoft stock	$1,001 - $15,000	Dividends	None	P
SP	Pfizer stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Philips Services stock	$1,001 - $15,000	Dividends	None	P
SP	Pinnacle West Capital stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Pittson Brink's Group stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Potash Corp stock	$1,001 - $15,000	Dividends	None	P
SP	Safeway stock	$1,001 - $15,000	Dividends	None	P
SP	Schlumberger stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Smith International stock	$1,001 - $15,000	Dividends	None	P
SP	State Street Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Sterling Software stock	$1,001 - $15,000	Dividends	None	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP	Sungard Data Systems stock	$1,001 - $15,000	Dividends	None	P
SP	Tosco Corp stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Tyco International stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	U S Office Products stock	$1,001 - $15,000	Dividends	None	P
SP	Universal Health Services stock	$1,001 - $15,000	Dividends	None	P
SP	Walgreen Co stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Wallace Computer Services stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Warner-Lambert Co stock	$1,001 - $15,000	Dividends	$1 - $200	P
SP	Washington Federal stock	$1,001 - $15,000	Dividends	None	P
SP	Watson Pharmaceuticals stock	$1,001 - $15,000	Dividends	None	P
SP	Worldcom stock	$1,001 - $15,000	Dividends	None	P
SP	Zale Corporation stock	$1,001 - $15,000	Dividends	None	P
SP	Merrill-Lynch CMA account - 81	$1,001 - $15,000	Dividends	$1 - $200	NA
SP	Merrill-Lynch CMA account - 91	$1,001 - $15,000	Dividends	$1 - $200	NA
SP	Merrill-Lynch CMA account - 92	$1,001 - $15,000	Dividends	$201 - $1,000	NA
SP	Merrill-Lynch CMA account - 26	$1,001 - $15,000	Dividends	$1 - $200	NA
DC	First National Bank, Crockett, TX account	$50,001 - $100,000	Interest	$2,501 - $5,000	NA
DC	Congressional Federal Credit Union account	$1,001 - $15,000	Interest	$1 - $200	NA
DC	Nicholas Fund	$1,001 - $15,000	Dividends	$201 - $1,000	NA
DC	Edward D Jones account	$1,001 - $15,000	Dividends	$1 - $200	NA

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

DC	Stein Roe Growth Stock Fund	$1,001 - $15,000	Dividends	$201 - $1,000	NA
DC	Stein Roe Special Fund	$1,001 - $15,000	Dividends	$201 - $1,000	NA
DC	Vanguard Star Portfolio	$1,001 - $15,000	Dividends	$201 - $1,000	NA
DC	First National Bank, Crockett, TX account	$50,001 - $100,000	Interest	$2,501 - $5,000	NA
DC	Misonix Inc stock	$1,001 - $15,000	Dividends	None	P
DC	Dell Computer	$1,001 - $15,000	Dividends	None	P
DC	Schwab One account	$1,001 - $15,000	Interest	$1 - $200	NA
DC	Schwab Money Market Fund	$1,001 - $15,000	Dividends	$201 - $1,000	NA
DC	ENSCO International Inc stock	$1,001 - $15,000	Dividends	$1 - $200	P
DC	Dell Computer stock	$1,001 - $15,000	Dividends	None	P

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
JT	Louisiana-Pacific Stock	Sold	10/15/97	$15,001 - $50,000
JT	Airtouch Communications stock	Purchase	11/17/97	$1,001 - $15,000
JT	Barnes & Noble stock	Purchase	11/17/97	$1,001 - $15,000
JT	CDI Corp stock	Purchase	11/17/97	$1,001 - $15,000
JT	DIY Home Warcouse stock	Purchase	11/17/97	$1,001 - $15,000
JT	Dell Computer stock	Purchase	11/17/97	$1,001 - $15,000
JT	Donna Karan stock	Purchase	02/21/97	$1,001 - $15,000
JT	Jackson-Hewitt stock	Purchase	11/17/97	$1,001 - $15,000
JT	Misonix stock	Purchase	11/17/97	$1,001 - $15,000
JT	Moneygram Payment Sys stock	Purchase	11/17/97	$1,001 - $15,000
JT	Newmont Mining Corp stock	Purchase	11/17/97	$1,001 - $15,000
JT	Peoplesoft, Inc stock	Purchase	11/17/97	$1,001 - $15,000
JT	Reliability, Inc stock	Purchase	11/17/97	$1,001 - $15,000
JT	Solomon Page Group stock	Purchase	11/17/97	$1,001 - $15,000
SP	Airtouch Communications stock	Purchase	11/17/97	$1,001 - $15,000
SP	Baker Hughes Inc stock	Purchase	10/20/97	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale or exchange by you, your spouse or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	China Brilliance Auto Hl stock	Purchase	10/20/97	$1,001 - $15,000
SP	Crescent Real Estate stock	Purchase	10/23/97	$1,001 - $15,000
SP	Cisco Systems Inc stock	Purchase	10/20/97,12/01/97	$1,001 - $15,000
SP	Compaq Computer Corp stock	Purchase	10/23/97,12/3/97/12/8/97	$1,001 - $15,000
SP	Dell Computer Corp stock	Purchase	10/20/97,10/31/97	$1,001 - $15,000
SP	D R Horton Inc stock	Purchase	10/20/97	$1,001 - $15,000
SP	ENSCO Int'l Inc stock	Purchase	10/20/97	$1,001 - $15,000
SP	J P Morgan & Co stock	Purchase	10/20/97	$1,001 - $15,000
SP	Microsoft Corp stock	Purchase	10/9/97,10/20/97,10/31/97,11/18/97	$1,001 - $15,000
SP	Nokia Corp "A" stock	Purchase	10/21/97	$1,001 - $15,000
SP	Peoplesoft Inc stock	Purchase	11/17/97,12/01/97	$1,001 - $15,000
SP	Amerisource Health Corp stock	Purchase	10/17/97	$1,001 - $15,000
SP	Amresco Inc. stock	Purchase	10/17/97	$1,001 - $15,000
SP	Agco Corp stock	Purchase	10/17/97	$1,001 - $15,000
SP	ACX Technologies Inc stock	Purchase	10/17/97	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	Barret Res Corp. PV stock	Purchase	10/17/97	$1,001 - $15,000
SP	Cable Design Tech Corp stock	Purchase	10/17/97	$1,001 - $15,000
SP	Cytec Industries Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	ECI Telecom Ltd stock	Purchase	10/17/97	$1,001 - $15,000
SP	A G Edwards Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	1st Tennessee Nat'l Corp stock	Purchase	10/17/97	$1,001 - $15,000
SP	General Nutrition Co stock	Purchase	10/17/97	$1,001 - $15,000
SP	Hummingbird Communications stock	Purchase	10/17/97	$1,001 - $15,000
SP	Highwoods Properties Inc stock	Purchase	10/22,23,24&27/97	$1,001 - $15,000
SP	Health Care Ppty Invs stock	Purchase	10/17/97	$1,001 - $15,000
SP	Healthcare Compare Com stock	Purchase	10/17/97	$1,001 - $15,000
SP	Texas Instruments stock	Purchase	10/27/97	$1,001 - $15,000
SP	CalEnergy Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Chancellor Media Corp. stock	Purchase	10/17/97	$1,001 - $15,000
SP	Clayton Homes Del stock	Purchase	10/17/97	$1,001 - $15,000
SP	CMAC Investment Corp. stock	Purchase	10/17/97	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	CompUSA Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Electroglas Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Electronics for Imaging stock	Purchase	10/17/97	$1,001 - $15,000
SP	Encad Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Hiberna Corp stock	Purchase	10/17/97	$1,001 - $15,000
SP	Imco Recycling Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Kennametal Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Lincare Holdings Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	LCI Int'l Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Mondavi, Robert, Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Mid Ocean Ltd Ord stock	Purchase	10/17/97	$1,001 - $15,000
SP	Mack Cal I Realty Corp. stock	Purchase	10/17/97	$1,001 - $15,000
SP	Money Store Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Mutual Risk Mgmt. Ltd. stock	Purchase	10/17/97	$1,001 - $15,000
SP	Onbancorp Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Pacific Enterprises stock	Purchase	10/17/97	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	Pacific Century Finl stock	Purchase	10/17/97	$1,001 - $15,000
SP	Philip Services Corp stock	Purchase	10/17/97	$1,001 - $15,000
SP	Pinnacle West Cap Corp stock	Purchase	10/17/97	$1,001 - $15,000
SP	Pittson Brink's Grp stock	Purchase	10/17/97	$1,001 - $15,000
SP	Potash Corp Saskatchewan stock	Purchase	10/17/97	$1,001 - $15,000
SP	Silicon V Grp PV 1CT Del stock	Purchase	10/17/97	$1,001 - $15,000
SP	Smith Intl Inc Del Stock	Purchase	10/17/97	$1,001 - $15,000
SP	Sterling Software Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Sungard Data Sys Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	U S Office Products Co stock	Purchase	10/17/97	$1,001 - $15,000
SP	Universal Health Svcs stock	Purchase	10/17/97	$1,001 - $15,000
SP	Washington Fedl Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Wallace Computer Svcs Inc stock	Purchase	10/17/97	$1,001 - $15,000
SP	Watson Pharmaceuticals stock	Purchase	10/17/97	$1,001 - $15,000
SP	Zale Corp New stock	Purchase	10/17/97	$1,001 - $15,000
SP	ADC Telecommunications stock	Purchase	10/20/97,11/18/97	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	Assoc First Cap Corp stock	Purchase	10/31/97	$1,001 - $15,000
SP	AES Corp stock	Purchase	10/31/97	$1,001 - $15,000
SP	Am International Grp stock	Purchase	10/20/97	$1,001 - $15,000
SP	CVS Corp Del stock	Purchase	10/20/97	$1,001 - $15,000
SP	Costco Companies Inc stock	Purchase	10/20/97	$1,001 - $15,000
SP	Dollar General Corp stock	Purchase	10/31/97	$1,001 - $15,000
SP	Elan Corp. stock	Purchase	10/31/97,12/11/97,12/16/97	$1,001 - $15,000
SP	Ericksn Ln Tel Sek 10B Adr stock	Purchase	11/18/97	$1,001 - $15,000
SP	Fannie Mae Com Npv stock	Purchase	10/20/97,11/18/97	$1,001 - $15,000
SP	Gillette Co stock	Purchase	11/20/97	$1,001 - $15,000
SP	Global Marine Inc New stock	Purchase	10/31/97,12/17/97/12/22/97	$1,001 - $15,000
SP	Healthsouth Corp stock	Purchase	10/20/97	$1,001 - $15,000
SP	Household Intl Inc stock	Purchase	10/20/97,12/10/97,12/15/97	$1,001 - $15,000
SP	Kohls Corp Wisc Pv 1Ct stock	Purchase	10/31/97	$1,001 - $15,000
SP	Lucent Technologies Inc. stock	Purchase	10/20/97,11/18/97	$1,001 - $15,000

4224

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
SP	Lilly Eli Co. stock	Purchase	10/20/97,10/31/97,11/18/97	$1,001 - $15,000
SP	MBNA Corp stock	Purchase	10/20/97,11/18/97	$1,001 - $15,000
SP	MGIC Invt Corp Wis stock	Purchase	10/20/97,10/31/97	$1,001 - $15,000
SP	Medtronic Inc stock	Purchase	10/20/97,11/18/97,12/04/97	$1,001 - $15,000
SP	Pfizer Inc Del stock	Purchase	10/31/97,11/18/97	$1,001 - $15,000
SP	Safeway Inc stock	Purchase	10/31/97	$1,001 - $15,000
SP	State Street Corp stock	Purchase	10/20/97	$1,001 - $15,000
SP	Schlumberger Ltd stock	Purchase	10/31/97,11/18/97	$1,001 - $15,000
SP	Tyco Intl Ltd New stock	Purchase	10/20/97,10/31/97	$1,001 - $15,000
SP	Worldcom Inc Ga stock	Purchase	10/31/97,11/18/97	$1,001 - $15,000
SP	Warner-Lambert Co stock	Purchase	10/20/97	$1,001 - $15,000
SP	Ericsn Ln Tel Sek stock	Sold	12/22/97	$1,001 - $15,000
SP	Medtronic Inc stock	Sold	12/11/97	$1,001 - $15,000
DC	Misonix Inc stock	Purchase	11/17/97	$1,001 - $15,000
DC	Dell Computer stock	Purchase	11/17/97	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
DC	ENSCO International stock	Purchase	10/20/97	$1,001 - $15,000
DC	Dell Computer stock	Purchase	10/20/97	$1,001 - $15,000
SP	Fidelity Municipal Bond Fund	Sold	11/97	$15,001 - $50,000
SP	Fidelity Balanced Fund	Sold	12/23/97	$50,001 - $100,000
SP	Texas Instruments stock	Sold	11/13/97	$1,001 - $15,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, De!	$100,001 - $250,000

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SCHEDULE VI -- GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.
Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.
Note: The gift rule (House Rule 52 in the 104th Congress, renumbered as House Rule 51 of the 105th Congress) prohibits gifts except as specifically provided in the rule.
For further information, see instructions, pages 22-24.

Source		Description	Value
Example	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. **Exclude:** Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
American Israel Education Foundation	Aug 2 - 10	Wash DC - Jerusalem - Houston, TX	Y	Y	Y	none
Aspen Institute	March 7 - 9	Washington DC - Hershey, PA - Washington DC	Y	Y	Y	none

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Vice-President	Turner Hardware & Construction, Inc., Crockett, TX

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer For further information, see Instructions, pages 26-27

Date	Parties To	Terms of Agreement

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Robert A. Underwood
(Full Name)

U. S. House of Representatives, 424 Cannon H.O.B.
(Mailing Address)

Washington, D.C. 20515

Daytime Telephone (202) 225-1188

HAND DELIVERED
(Office Use Only)

(5)

Filer Status	[X] Member of the U S House of Representatives	State District Guam At-Large	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [ ] No [X]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [ ] No [X]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year)

4232

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Government of Guam Retirement Fund	Pension	$71,593

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	C $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp Stock					X								X										X								P
DC	Examples: Simon & Schuster			Indefinite																Royalties									X			
JT	Examples: 1st Bank of Paducah KY accounts						X									X										X						
	Oppenheimer Funds 403 (B)					X											N/A								N/A							
SP	Oppenheimer Funds 403 (B)			X													N/A								N/A							
SP	Oppenheimer - IRA			X													N/A								N/A							
	Bank of Guam			X										X									X									

For additional assets and unearned income, use next page.

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
DC	USA Education Loan, Indianapolis, IN	Student Loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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Name Robert A. Underwood | Page 5 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Harvard Univ. - Fairbanks Center	Feb 20-21	Washington, DC - Boston-Washington, DC	Y	Y	N	N
	Aspen Institute, Hersey, PA	Mar 07-09	Washington,DC-Hersey, PA Washington, DC	Y	Y	Y	Y
	Pacific Islander Festival	July 10-13	washington, DC-San Diego, CA-Washington, DC	Y	Y	N	N
	330th Bomb Group Reunion	Oct 17-18	Washington, DC-Panama City, FL-Washington, DC	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Robert A. Underwood
(Full Name)

U. S. House of Representatives, 424 Cannon H.O.B.
(Mailing Address)

Washington, D.C. 20515

Daytime Telephone (202) 225-1188

✓ HAND DELIVERED
MC
(Office Use Only) (5)

Filer Status	[X] Member of the U.S. House of Representatives	State District: Guam At-Large	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g. salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Robert A. Underwood

DATE (Month/Day/Year): 5/14/98

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Name Robert A. Underwood	Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Government of Guam Retirement Fund	Pension	$71,593

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source		Value of Asset												Type of Income							Amount of Income											Transaction
			A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples*	SP	Mega Corp Stock				X								X										X								P
			Simon & Schuster			Indefinite															Royalties									X			
			1st Bank of Paducah KY accounts					X										X								X							
	Oppenheimer Funds 403 (B)						X												N/A							N/A							
SP	Oppenheimer Funds 403 (B)				X														N/A							N/A							
SP	Oppenheimer - IRA				X														N/A							N/A							
	Bank of Guam				X										X									X									

For additional assets and unearned income, use next page.

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
DC	USA Education Loan, Indianapolis, IN	Student Loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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Name Robert A. Underwood | Page 5 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U S C § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
Examples Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
Harvard Univ. - Fairbanks Center	Feb 20-21	Washington, DC - Boston-Washington, DC	Y	Y	N	N
Aspen Institute, Hersey, PA	Mar 07-09	Washington,DC-Hersey, PA Washington, DC	Y	Y	Y	Y
Pacific Islander Festival	July 10-13	washington, DC-San Diego, CA-Washington, DC	Y	Y	N	N
330th Bomb Group Reunion	Oct 17-18	Washington, DC-Panama City, FL-Washington, DC	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
LEGISLATIVE RESOURCE CENTER
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OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES
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Frederick Stephen Upton (Full Name)
P.O. Box 900; 285 Ridgeway (Mailing Address)
St Joseph, Michigan 49085
Daytime Telephone 202-225-3761

Filer Status	☒ Member of the U.S. House of Representatives	State MI District 6	☐ Officer or Employee	Employing Office
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL Fred Upton **DATE** (Month/Day/Year) 5-12-98

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Name Upton	Page 2 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Westminster Weekday Preschool	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Upton

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP.	Mega Corp Stock					X								X																		
DC.	Examples: Simon & Schuster			Indefinite																Royalties				X					X			
JT	1st Bank of Paducah KY accounts						X									X										X						
JT	Whirlpool Stock									X				X														X				
SP	J.L. Courmand			X																	X											
	US-UPS - Family Ptnership			X																	X											
	Petroleum Rev Service (Formerly Wolverine)				X															Oil Royalties						X						
JT	Upton Trust Reals (Compared of ...)						X							X		X										X						
	Stryker Stock				X																											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Upton

Page 4 of 10

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	(Upton Family Trusts cont)																															
	• Yucktman Mutual Fund					X																										P
	• SEI Daily Inc Prime BMAP			X																												P
	Vial Family Trusts (can act jointly in any way with respect to my Main)									X				X													X					
	• Agrium N.V. Ord Amer Reg			X																												
	• Airtouch			X																												
	• American Express			X																												
	• Ameritech			X																												
	• AT&T			X																												
	• Bell Atlantic			X																												
	• Bell South			X																												
	• Hewlett-Packard			X																												
	• IBM			X																												
	• Lehman			X																												
	• Lucent Tech			X																												
	• J.C. Penney				X																											
	• Pfizer						X																									
	• Providian			X																												
	• SBC Communications			X																												
	• U.S. West Com. Media			X																												
	• U.S. West Communications			X																												
	• SL Gov. Bond Fund			X																												

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Upton

Page 5 of 10

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	(Vial Family Trusts Cont)																															
	• Taxable bond fund			X																												
	• Cash					X																										
	• Amoco			X																												
	• Exxon				X																											
	• Kimberly Clark				X																											
	• Quaker Oats			X																												
	• Wrigley									X																						
JT	First of Michigan (continued)									X				X													X					
	• AT&T				X																											
	• Ameritech				X																											
	• Bell Atlantic			X																												
	• GM-H			X																												
	• Lucent			X																												
	• Pharmacia-Upjohn			X																												
	• Raytheon			X																												
	• Warner Lambert				X																											
	• Wrigley								X																							
	• Fahnestock Prime Cash Acct				X																											
	• Pan American Berryessa			X																												P
	• Stryker			X																												

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Upton

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P. S. E
	First of Michigan Corp't																															
	• Chase Manhattan			X																												
	• Donnelly			X																												
	• Southern			X																												
	• Allstate				X																											
	• Amoco				X																											
	• Bell South				X																											
	• Disney						X																									
	• Fed Natl Mtg Assn				X																											
	• Gannett				X																											
	• General Electric					X																										
	• Pepsico							X																								
	• Pfizer					X																										
	• Prudential Fin Services					X																										
	• Sears			X																												
	• Sherline							X																								
	• Tricon Global Rest				X																											
	• Mass Inc Growth				X																											
	• Mass Inv Trust				X																											
	• Sal Gnma Tax Exempt					X																										

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SCHEDULE IV — TRANSACTIONS

Name Upton

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10–12–97		X								
	Perrigo		X		4-14-97	X									
SP	Van Kampen American Capital Gov Sec Fund		X		4-14-97	X									
SP	Pan American Beverage	X			4-15-97	X									
	Pan American Beverage	X			4-1-97	X									
DC	Yacktman	X			4-23-97	X									
DC	Perrigo		X		4-24-97	X									
DC	U.S Treasury note	Matured			11-15-97	X									
DC	Federated Utility Fund (mutual Fund)		X		11-25-97	X									
DC	Fidelity Diversified (mutual Fund)		X		11-25-97	X									
DC	Yacktman	X			11-25-97		X								
DC	Benchmark Gov Select		X		4-15-97	X									
DC	Benchmark Gov Select		X		4-23-97	X									
DC	Benchmark Gov Select	X			4-24-97	X									
DC	Benchmark Gov Select		X		10-1-97		X								
DC	SEI Daily Inc Prime	X			10-1-97		X								
DC	SEI Daily Inc Prime		X		11-25-97		X								

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SCHEDULE IV — TRANSACTIONS

Name ilpton

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example Mega Corporation Common Stock	X			10 12 97		X								
DC	Yacktman	X			1-15-97	X									
DC	Benchmark Gov Select	X			1-2-97	X									
DC	Benchmark Gov Select	X			3-[illegible]-97	X									
DC	Benchmark Gov Select	X			6-12-97	X									
DC	Benchmark Gov Select	X			9-19-97	X									
DC	SEI Daily Inc Prime		X		10-15-97	X									
DC	SEI Daily Inc Prime	X			10-16-97	X									
DC	SEI Daily Inc Prime	X			10-17-97	X									
DC	SEI Daily Inc Prime	X			10-23-97	X									
DC	SEI Daily Inc. Prime	X			11-17-97	X									
DC	SEI Daily Inc Prime	X			12-31-97	X									
DC	Yacktman	X			12-31-97	X									

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Name	UPTON	Page 9 of 10

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute	Mar 7-9	Wash DC -> Hershey PA -> DC (by train)	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Co-Partner	US-UPS (Upton Family)
General Partner	Petroleum Rec. Service (2 oil wells)
Family Representative	Upton JR. Foundation

all non-compensated

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment; a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	none	

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Use additional sheets if more space is required.

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(Office Use Only)

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4252

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A

For use by Members, officers, and employees

Nydia M Velázquez

(Full Name)

1221 Longworth Building

(Mailing Address)

Washington DC 20515

Daytime Telephone 202 225 2361

Filer Status: [X] Member of the U.S. House of Representatives — State/District NY/12 [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [ ] No [X]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: [signature]

DATE (Month/Day/Year): May 15, 1998

Name	Page of

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	N-A	—	—

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page of

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500
	N-A	—	—	—

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Name Nydia M Velazquez | Page of

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

SP/DC/JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify for Example Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E, P
SP	Examples: Mega Corp Stock					X								X						Royalties												
DC	Simon & Schuster		Indefinite																													
JT	1st Bank of Paducah KY accounts						X									X																
	Automatic Data Price	X															X					X										
	Mc Donalds	X															X						X									
	MFS Emerging Growth	X															X						X									
	Firth Third Bank			X												X					X											
	M.L. Growth Cap/Capital Builders		X											X							X											
	521 West 42nd Street	X															X															S

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name	Page of

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E

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SCHEDULE IV — TRANSACTIONS

Name Nydia M. Velazquez

Page of

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	529 West 42nd Street, New York NY		X		5-14-97				X						
	MFS Emerging Growth	X			6-25-97	X									
	MFS Emerging Growth		X		8-4-97	X									
	Mc Donalds Corp	X			11-10-97	X									
	Mc Donalds Corp		X		12-2-97	X									
	Automatic Data Proc	X			11-10-97	X									
	Automatic Data Proc		X		12-3-97	X									
	M2 Growth Fund CLC	X			6-25-97	X									
	M2 Growth Fund CLC		X		8-4-97	X									
	Fifth Third Bank	X			11-10-97		X								
	Fifth Third Bank		X		12-15-97		X								

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Name	Page of

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP DC JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NA	—										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NA	—	

Use additional sheets if more space is required.

Name	Page of
Nydia M Velázquez	

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	NorthEast Network	Feb 1-2	NY - Boston - NY	Y	Y	N	N
	Cornell University - Latino Student Deg.	May 3-4	NY - Ithaca - NY	Y	Y	N	N

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Name	Page of

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
N-A	—

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
N-A	—	

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

BRUCE F VENTO
(Full Name)

2304 RHOB
(Mailing Address)

202-225-6631
Daytime Telephone

MN
(Office Use Only)

9

Filer Status	[X] Member of the U.S. House of Representatives	State MN District 4	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [X]	No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Bruce F. Vento

DATE (Month/Day/Year): 5/15/98

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Name	BRUCE F. VENTO	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NONE		

For payments to charity in lieu of honoraria, use Schedule II.

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Name	BRUCE F. VENTO	Page	1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package

Source	Activity	Date	Amount
Examples Association of American Associations, Wash , D C XYZ Magazine	Speech Article	Feb 2, 1997 Aug 13, 1997	$2,000 $500
MINNESOTA STATE BAR ASSOC.	SPEECH	JULY 1997	25.00
SECOND HARVEST FOOD BANK			

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Name BRUCE F VENTO | Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRAs and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp Stock					X								X										X								P
	Simon & Schuster			indefinite																Royalties								X				
	1st Bank of Paducah KY accounts						X									X									X							
	WRIGHT PATMAN C F C U. CULT/MMA WDC				X											X								X								S/E
	WRIGHT PATMAN C'FCU WDC IRA			X												X								NA								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name BRUCE F. VENTO

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	KINNARD AND CO SECURITIES FIRM MPLS, MN MMA/BONDS			X												X							X									
	NORWEST BANK INV. TREASURY BONDS MMA – ST PAUL MN						X									X										X						E/P
	MPLS TEACHER RETIREMENT ACCT., MPLS, MN			X												X							NA									
	MN EMPLOYEE ANNUITY ACCT. ST PAUL, MN					X											X						NA									

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SCHEDULE IV — TRANSACTIONS

Name BRUCE F. VENTO | Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	WRIGHT PATMAN CFCU. CERTIFICATES WDC		X	X	12-12-97		X								
	NORWEST INVESTMENT ACCT U.S. TREASURY BONDS ST PAUL, MN	X		X	7-25-97				X						

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Name	BRUCE F. VENTO	Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE.		

Use additional sheets if more space is required.

Name BRUCE F. VENTO | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	NATIONAL SECURITY CAUCUS FOUNDATION	JAN. 9 – JAN. 15	WASH D.C - SERBIA - MONTENEGRO - CROATIA - WDC	Y	Y	N	N
	AMERICAN BANKER'S ASSOCIATION	FEB 28 – MAR 3	WDC – INDIAN WELLS CALIF – WDC	Y	Y	N	N
	ASPEN INSTITUTE	MAR 31 APR 6	ST PAUL - HAWAII - ST PAUL	Y	Y	N	N
	SEA COLOGY FOUNDATION AND BAT CONSERVATION INTERNATIONAL	AUG 24 AUG 28	ST PAUL - AMER, SONOA - ST PAUL	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
	NONE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment; a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
SEPT 1976 - PRESENT	BRUCE F VENTO / MPLS SPECIAL SCHOOL DIST. #1	LEAVE OF ABSENCE WITHOUT COMPENSATION

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
99 MAY 15 AM 8 54
CLERK OF THE HOUSE
OFFICE OF HOUSE RECORDS
INSIDE MAIL

NC

(10)

(Office Use Only)

Honorable Peter J. Visclosky
(Full Name)

Post Office Box 10847
(Mailing Address)

Daytime Telephone

Merrillville IN 46411 202-225-2461

Filer Status	[X] Member of the U.S. House of Representatives	State IN District 01	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ] No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV. Did you, your spouse, or a dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS-Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 5/14/98

4270

Name Honorable Peter J. Visclosky | Page 1 of 9

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see Instructions, pages 13-14.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1994	$2,000
	XYZ Magazine	Article	Aug. 13, 1994	$500

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP DC JT	*Examples* SP: Mega Corp. Stock 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
DC	John D. Visclosky Minority Trust	$15,001 - $50,000	Interest	$201 - $1,000	NA
	Legg Mason Wood Walker (IRA) U.S. Gov't Intrmed.	$50,001 - $100,000	Dividends	$2,501 - $5,000	NA
DC	Dodge & Cox Stock Fund	$1,001 - $15,000	Capital Gains and Dividends	$1,001 - $2,500	P
DC	Mutual Qualified Fund	$1,001 - $15,000	Capital Gains and Dividends	$1,001 - $2,500	P
DC	Dodge & Cox Stock Fund	$15,001 - $50,000	Capital Gains and Dividends	$1,001 - $2,500	P
DC	Mutual Qualified Fund	$1,001 - $15,000	Capital Gains and Dividends	$1,001 - $2,500	P

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000 Include transactions that resulted in a loss Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
DC	Dodge & Cox Stock Fund	Purchase	Monthly	$1,001 - $15,000
DC	Mutual Qualified Fund	Purchase	Monthly	$1,001 - $15,000
DC	Dodge & Cox Stock Fund	Purchase	Monthly	$1,001 - $15,000
DC	Mutual Qualified Fund	Purchase	Monthly	$1,001 - $15,000
JT	Merrill Lynch - Cash Management	Sold	02/03/97,02/04/97,12/97	$1,001 - $15,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000

4275

SCHEDULE VI -- GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.
Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold
Note: The gift rule (House Rule 52 in the 104th Congress, renumbered as House Rule 51 of the 105th Congress) prohibits gifts except as specifically provided in the rule
For further information, see Instructions, pages 22-24

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26

	Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
	Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days

4277

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information: see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Trustee	Peter J. Visclosky Foundation, P.O Box 10847, Merrillville, IN 46411

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26-27

Date	Parties To	Terms of Agreement

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 12 PM 1:28

HAND DELIVERED

(6)

(Office Use Only)

James T. Walsh
(First Name)

400 Broadview Drive
(Mailing Address)

Syracuse, New York 13215

Daytime Telephone (202) 225-3701

Filer Status	[X] Member of the U.S. House of Representatives — State New York, District 25th		[ ] Officer or Employee — Employing Office	A *$200 penalty* shall be assessed against anyone who files more than 30 days late.
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date	

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (e.g., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: James T. Walsh

DATE (Month/Day/Year): May 12, 1998

4280

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Onondaga Community College	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E
SP	Mega Corp Stock					X								X										X								P
	Simon & Schuster			Indefinite																Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Prudential Securities																															
	IRA Rollover																															
	Accounts Holding The																															
	Following Assets:																															
	* Van Kampen American Capital Gov't.																															

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James T. Walsh

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Securities Fund				X									X									X									P
	* Prudential Balanced Fund, Inc.				X									X										X								P
	* Prudential Equity Income Fund				X									X											X							P
	* Merck & Co.			X										X								X										
	* Prudential Moneymart Fund			X										X								X										
	* Lucent Technologies, Inc.			X										X								X										
	* National Equity Trust Low Five			X										X								X										E

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SCHEDULE IV — TRANSACTIONS

Name James T. Walsh

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Prudential Balanced Fund	X			Quarterly*	X									
	Prudential Equity Income Fund	X			Quarterly*	X									
	National Equity Trust Low Five			X	6/3/97	X									
	Prudential Equity Income Fund		X		8/21/97	X									
	National Equity Trust Low Five		X		8/21/97	X									
	Sogen International Fund		X		8/21/97	X									
	Microsoft Corp. Washington		X		12/31/97	X									
*	Shares Acquired Under Dividend Reinvestment Plan														

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Director	Erie Canal Museum
Director	Kidney Foundation - CNY Chapter
Trustee	Vera House
Director	Everson Museum

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
N/A	New York State and Local Retirement System	Pension Plan Interest Available At Retirement Age
N/A	Bell Atlantic (formerly NYNEX)	Pension Plan Interest Available At Retirement Age

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

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(1)

James T. Walsh
(Full Name)

400 Broadview Drive
(Mailing Address)

Syracuse, New York 13215

Daytime Telephone: (202) 225-3701

Filer Status	[X] Member of the U.S. House of Representatives — State New York District 25th	[ ] Officer or Employee — Employing Office	A *$200 penalty* shall be assessed against anyone who files more than 30 days late.
Report Type	[X] Annual (May 15) [X] Amendment	[ ] Termination — Termination Date	

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X] No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ] No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X] No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X] No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X] No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ] No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: James T. Walsh (Addendum)

DATE (Month/Day/Year): 5/14/98

Name James T. Walsh | Page 2 of 7

MAY-14-98 THU 12:51 PM FMFE FAX NO. 3154727053 P. 03

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Onondaga Community College	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name James T. Walsh

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify, inc. Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Prudential Securities																															
	IRA Rollover																															
	Accounts Holding The																															
	Following Assets:																															
	* Van Kampen American Capital Gov't.																															

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James T. Walsh

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Securities Fund				X									X									X									P
	* Prudential Balanced Fund, Inc.				X									X										X								P
	* Prudential Equity Income Fund				X									X											X							P
	* Merck & Co.			X										X								X										
	* Prudential Moneymart Fund			X										X								X										
	* Lucent Technologies, Inc.			X										X								X										
	* National Equity Trust Low Five			X										X								X										E

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SCHEDULE IV — TRANSACTIONS

Name James T. Walsh

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Prudential Balanced Fund	X			Quarterly*	X									
	Prudential Equity Income Fund	X			Quarterly*	X									
	National Equity Trust Low Five			X	6/3/97	X									
	Prudential Equity Income Fund		X		8/21/97	X									
	National Equity Trust Low Five		X		8/21/97	X									
	Sogen International Fund		X		8/21/97	X									
	Microsoft Corp. Washington		X		12/31/97	X									
*	Shares Acquired Under Dividend Reinvestment Plan														

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Name James T. Walsh | Page 6 of 7

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Aspen Institute	March 7-9	Washington, DC - Hershey,PA Washington, DC	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Erie Canal Museum
Director	Kidney Foundation - CNY Chapter
Trustee	Vera House
Director	Everson Museum

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
N/A	New York State and Local Retirement System	Pension Plan Interest Available At Retirement Age
N/A	Bell Atlantic (formerly NYNEX)	Pension Plan Interest Available At Retirement Age

GPO 1998 45-260 (mar)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

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MAY 12 1998
(Office Use Only)

Zachary P. Wamp
(Full Name)

2044 Marina Cove Drive
(Mailing Address)

Hixson, TN 37343

Daytime Telephone: (423) 842-0732

Filer Status	[X] Member of the U.S. House of Representatives	State: TN District: 3	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Zach Wamp

DATE (Month/Day/Year): 5/11/98

4293

Name Zachary P. Wamp

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed,* list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

For further information, see Instructions, pages 14–20.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

If other than one of the listed categories, specify the type of income by writing a brief description in this block.

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	Value of Asset											Type of Income						Amount of Income										Transaction
		A None – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	I None – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	P, S, E
SP	Mega Corp Stock				X								X							X									P
DC	123 Main St., Dover, Del.							X						X											X				
JT	1st Bank of Paducah, KY accounts					X									X							X							
JT	Tennessee Valley Credit Union		X												X					X									

For additional assets and unearned income, use next page.

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

MAXINE WATERS
(Full Name)

555 SOUTH FLOWER STREET, SUITE 4510
(Mailing Address)

LOS ANGELES, CA 90071

Daytime Telephone (213) 489-4792

Filer Status	[X] Member of the U.S. House of Representatives — State CA District 35	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL Maxine Waters

DATE (Month/Day/Year) May 14, 1998

Name MAXINE WATERS	Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	United States Department of State	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II

Name MAXINE WATERS | Page 3 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A		Block B												Block C						Block D											Block E
		A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTERES*	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P or S or E
SP	Examples: SP Mega Corp. Stock					X								X										X							P
DC	Examples: Simon & Schuster			Indefinite																Royalties									X		
JT	Examples: 1st Bank of Paducah, KY accounts						X									X									X						
SP	FOUNDERS NATIONAL BANK OF LOS ANGELES			X												X							X								
	CONGRESSIONAL FED.CRED.UN			X												X						X									
SP	NEW YORK LIFE INS.CO.	X														X				Redemption of policy			X		X						
SP	KEMPER CA TAX FREE FUND (HELD BY MERRILL LYNCH)				X									X										X							
SP	AMERICAN GOLF JT.VENTURE					X								X						Partnership Income								X			
SP	ESSENCE COMMUNICATIONS					X								X										X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name MAXINE WATERS

Page 4 of 9

SP DC.	Asset and/or income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Types of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P S. E
SP	TRACT UNIT 3557,LOT 96,CA				X																X											
SP	417 PEARL ST.,COMPTON,CA					X									X											X						
SP	2201 KIRK ST.,HOUSTON,TX			X																	X											
SP	1520-22 MEADOWBROOK;L.A.,CA							X							X												X					
	3475 MT.VERNON; L.A.,CA							X							X						X											
SP	701 W.BARSTOW,PALM SPRINGS			X																	X											
	FAMILY SAVINGS			X												X						X										
	MERILL LYNCH MONEY MKT. (IRA)	X												X							X											
	KEYSTONE SMALL C.FUND (IRA)			X										X			X				X											
	MERRILL LYNCH CAP.FUND (IRA)			X										X			X						X									
	GLOBAL ALLOC.FUND (IRA)			X										X			X						X									
SP	MER.LYNCH MONEY MKT. (IRA)	X												X								X										
SP	US TREASURY TIGR SER.1 (IRA)			X												X					X											
SP	MER.LYNCH CAP FUND (IRA)						X							X			X									X						
						X								X			X									X						
SP	GLOBAL ALLOCATION FUND (IRA)																															
SP	SMALL CAP WORLD FUND (IRA)			X										X			X						X									
					X									X									X									
SP	MER.LYNCH MONEY MKT.																															
SP	MER.LYNCH CAP FUND			X										X			X						X									
SP	GLOBAL ALLOC.FUND			X										X			X						X									

This page may be copied if more space is required.

Name MAXINE WATERS | Page 5 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude.** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
SP	FOUNDERS NATIONAL BANK	Mortgage on 1520-22 Meadowbrook, Los Angeles, CA				X						
	FAMILY SAVINGS BANK	Mortgage on 3475 Mt.Vernon, Los Angeles, CA	X									
SP	METMOR FINANCIAL CORP.	Mortgage on 417 Pearl St., Compton, CA			X							
SP	FOUNDERS NATIONAL BANK	CREDIT LINE		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
Turner Broadcasting System	Jan.12-14	Wash.,D.C.-Atlanta-Wash.,D.C.	N	N	N	N
AFL-CIO	Feb.16-17	Ft.Lauderdale-Los Angeles	N	N	N	N
TEXAS A & M COLLEGE	Feb.20-21	Los Angeles-Coll.Station,TX	Y	Y	N	N
STATE FARM INSURANCE	Nov.26-Dec.1	Los Angeles-New Orleans-Los Angeles	Y	Y	Y	3 days
NATL.ASSN.OF BLACK OWNED BROADCASTERS	Mar.27-28	Nassau-Washington,D.C.-Nassau	Y	N	N	N
ESSENCE COMMUNICATIONS	Apr.3-7	Nassau-New York	Y	Y	Y	N
ESSENCE COMMUNICATIONS	Apr.23-24	Washington,D.C.-New York	Y	N	N	N
NATL.CONF. OF BLACK MAYORS	Apr.24-28	New York-St.Louis-Washington,D.C.	Y	Y	N	2 days
ESSENCE COMMUNICATIONS	JULY 5-6	Nassau-New Orleans-Washington,D.C.	Y	N	Y	N
RAINBOW/PUSH	AUG.1-2	Washington,D.C.-Chicago-Philadephia	Y	Y	N	N
ALPHA PHI ALPHA FRATERNITY	AUG.3-4	Philadephia,Washington,D.C.-Nassau	Y	N	N	N
NATL.ASSN.OF NEGRO BUS.& PROF.WOMENS	AUG.9	Nassau-New York	Y	Y	Y	N
ALLIANCE OF BLACK TELEC.EMPLOYEES	AUG.10	New York-Orlando-Nassau	Y	N	N	N
NATL.BLACK POLITICAL CONVENTION	SEPT.27-28	Washinton,D.C.-Chicago-Washington,D.C.	Y	Y	N	N

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	100 BLACK MEN OF AMERICA	June 6-7	Wash.,D.C.-Atlanta-Nassau	Y	Y	N	N
	UNIVED DOMESTIC WORKERS OF AMER.	Oct.10-11	Los Angeles-Fresno	Y	Y	N	N
	EL CENTRO DE LA RAZA	Oct.11-12	Fresno-Seattle-Los Angeles	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Director	Essence Communications
President	Black Women's Forum
Director	Gourmet Services
Director	Transafrica Foundation
Director	National Commission for Economic Conversion & Disarmament
Director	Minority AIDS Project

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1996 46-260 (misc)

Use additional sheets if more space is required.

Name	MAXINE WATERS	Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Director	Clara Elizabeth Jackson Carter Foundation, Spellman College

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

GPO 1998 4A-250 (rev)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

90 MAY 15 PM 5:04

Wesley Wade Watkins
(Full Name)

2312 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone 202-225-4565

HAND DELIVERED

(11)

Filer Status	[X] Member of the U S House of Representatives	State OK District 03	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III Did you, your spouse or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1 000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV Did you your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** Yes [ ] No [X]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [ ] No [X]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [ ] No [X]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [X] No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL: Wes Watkins

DATE (Month/Day/Year): May 15, 1998

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Name Wesley Wade Watkins	Page ___ of ___

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	World Export Services, Inc., Stillwater, Oklahoma	Spouse Part-Time Salary	$10,000.00

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page ___ of ___

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium.
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package. For further information, see Instructions, pages 13-14

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash , D C	Speech	Feb. 2, 1994	$2,000
	XYZ Magazine	Article	Aug. 13, 1994	$500

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC *Examples* JT	SP 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
JT	Personal Loan to World Export Services, Inc., Stillwater, OK	$100,001 - $250,000	Interest	$5,001 - $15,000	NA
JT	Vanguard Variable Annuity, Kansas City, MO	$100,001 - $250,000	Dividends	$5,001 - $15,000	NA
JT	Franklin Valuemark Variable Annuity, LaJolla, CA	$100,001 - $250,000	N/A-Pension Plan	None	NA
JT	Lincoln Fixed Annuity, Ft. Wayne, IN	$100,001 - $250,000	Interest	$5,001 - $15,000	NA
JT	Western Reserve Life Annuity, Clearwater, FL	$15,001 - $50,000	Annuity	$1,001 - $2,500	NA
JT	Janus Mutual Fund Group, Denver, CO	$100,001 - $250,000	IRA	None	NA

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

JT	Investco Mutual Fund Group, Denver, CO	$100,001 - $250,000	Pension Plan	None	NA
SP	American Century Funds, Kansas City, MO	$50,001 - $100,000	IRA-Pension Plan	None	NA
JT	Stock, Heartland Communication, Richardson, TX	$15,001 - $50,000	Reduced Value	None	NA
JT	Personal Savings, Edward Jones, Stillwater, OK	$15,001 - $50,000	Interest	$1,001 - $2,500	NA
SP	TIAA/CREF, NY, NY	$15,001 - $50,000	Educ. Retirement Invest. Acct	$201 - $1,000	NA
	CREF, NY, NY	$15,001 - $50,000	Educ. Retirement Invest. Acct.	$201 - $1,000	NA
JT	World Export Services, Inc., Stillwater, OK	$100,001 - $250,000	Repayment of Loan	$15,001 - $50,000	NA

Name Wesley Wade Watkins	Page ____ of ___

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000

Name Wesley Wade Watkins	Page __ of __

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
JT	The Bank of Cushing, Cushing, OK	Home construction loan	$100,001 - $250,000

Name	Page ___ of ___

SCHEDULE VI -- GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $250 received by you, your spouse, or a dependent child from any source during the year.
Exclude: Gifts from relatives; gifts of personal hospitality of an individual; local meals; and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.
Note: The gift rule (House Rule 52 in the 104th Congress, renumbered as House Rule 51 of the 105th Congress) prohibits gifts except as specifically provided in the rule.
For further information, see Instructions, pages 22-24.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270

Name Wesley Wade Watkins	Page ___ of ___

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

	Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
	Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
				N	N	N	

Name	Page ____ of ___

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, propnetor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterpnse, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Organization

Name Wesley Wade Watkins	Page ___ of ___

SCHEDULE IX -- AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer. For further information, see Instructions, pages 26-27.

Date	Parties To	Terms of Agreement
1995	World Export Services, Inc., Stillwater, OK	Personal loan to purchase real estate and vehicle with monthly repayment schedule.
1993	World Export Services, Inc., Stillwater, OK	Company approved Defined Benefit Pension Plan for retirement investment.

98 JUN 15 PM 5:14

HAND DELIVERED

(Office Use Only)

13

4315

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

MELVIN L. WATT
(Full Name)

515 N. POPLAR STREET
(Mailing Address)

CHARLOTTE NC 28202

Daytime Telephone (202) 225-1510

Filer Status	[X] Member of the U S House of Representatives	State NC District 12	[ ] Officer or Employee	Employing Office	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date	

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11)	Yes [ ]	No [X]
EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11)	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions (See 5 U S C, app 6, 104)

SIGNATURE OF REPORTING INDIVIDUAL: Melvin L. Watt

DATE (Month/Day/Year): 6-15-1998

Name MELVIN L WATT | Page 2 of 13

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000 For further information, see Instructions, pages 12-13

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U S DEPARTMENT OF EDUCATION	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Assocciations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
Saint Monica's Episcopal Church Men$ Club	Speech	Sept. 28, 1997	$300

This page may be copied if more space is required.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.	BLOCK B **Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
For further information, see Instructions, pages 14-20					
SP DC, *Examples* JT	Mega Corp. Stock SP 123 Main St., Dover, Del 1st Bank of Paducah KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	GENERAL MOTORS CORP	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	NATIONSBANK CORP	$100,001 - $250,000	Dividends	$2,501 - $5,000	NA
	CIRCUIT CITY, INC	$1,001 - $15,000	Dividends	None - $200	NA
	KEMPER MUNICIPAL INCOME TRUST	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	ARIEL APPRECIATION FUND - IRA	$1,001 - $15,000	Dividends	$201 - $1,000	NA
SP	ARIEL APPRECIATION FUND - IRA	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	MENTOR GROWTH TRUST - IRA	$1,001 - $15,000	Dividends	$201 - $1,000	NA
SP	MENTOR GROWTH TRUST - IRA	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	TRANSAMERICA LIFE - IRA	$1,001 - $15,000	Interest	$201 - $1,000	NA

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SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	EAST TOWNE MANOR, INC. - NOTES	$1,001 - $15,000		None - $200	NA
DC	BARCLAYS, PLC	$1,001 - $15,000	Dividends	None - $200	NA
DC	CIRCUIT CITY STORES, INC	$1,001 - $15,000	Dividends	None - $200	NA
DC	NATIONSBANK	$1,001 - $15,000	Dividends	None - $200	NA
DC	MECHANICS AND FARMERS BANK	$1,001 - $15,000	Dividends	None - $200	NA
SP	STATE EMPLOYEES RETIREMENT SYSTEM	$50,001 - $100,000	Interest	None - $200	NA
SP	SCHOOLWORKERS FEDERAL CREDIT UNION	None - $1,000	Interest	None - $200	NA
SP	PRUDENTIAL COMMAND MONEY FUND	None - $1,000	Dividends	None - $200	NA
SP	DHEW CREDIT UNION	$1,001 - $15,000	Interest	$201 - $1,000	NA
SP	HALLWOOD REALTY PARTNERS	$1,001 - $15,000	Dividends	None - $200	NA
	HALLWOOD REALTY PARTNERS	None - $1,000	Dividends	None - $200	NA
	WHEAT FIRST SECURITIES	None - $1,000	Dividends	None - $200	NA
	LOT - LAKE HARTWELL	$1,001 - $15,000			NA
	COLLEGE LIFE	$1,001 - $15,000	Interest	None - $200	NA
	SKYLAND BROADCASTING	None - $1,000		None - $200	NA
	WESTSIDE PROFESSIONAL ASSOCIATES, LTD	None - $1,000	Dividends	$201 - $1,000	NA
	MIDSOUTH CAPITAL GROUP - REAL ESTATE PARTNERSHIP, CHARLOTTE NC	None - $1,000	Interest	$15,001 - $50,000	NA
	EAST TOWNE MANOR, INC., REST HOME (SUB-S CORP), CHARLOTTE, NC	$500,001 - $1,000,000	REINVESTED PROFITS	$15,001 - $50,000	NA
	KEY WEST COMMUNICATIONS CORP	None - $1,000			NA
	SCHOOLWORKERS FEDERAL CREDIT UNION	None - $1,000	Interest	None - $200	NA
	NC MEDICALCARE REVENUE BONDS	$15,001 - $50,000	Interest	$201 - $1,000	NA
	NC EASTERN MUNICIPAL POWER BONDS	$1,001 - $15,000	Interest	$201 - $1,000	NA
	FORSYTHE COUNTY GENERAL OBLIGATION BONDS	$1,001 - $15,000	Interest	$201 - $1,000	NA

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	AIM EQUITY FUND	$15,001 - $50,000	Dividends	$1,001 - $2,500	NA
	PACIFIC GROWTH FUND - PRUDENTIAL SECURITIES	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	EATON VANCE MUNICIPAL TRUST	$15,001 - $50,000	Dividends	$1,001 - $2,500	NA
	PRUDENTIAL COMMAND MONEY FUND	$1,001 - $15,000	Dividends	$1,001 - $2,500	NA
	MECHANICS AND FARMERS BANK	$15,001 - $50,000	Dividends	$1,001 - $2,500	NA
	PRUDENTIAL GOVERNMENT SECURITIES TRUST	$1,001 - $15,000	Dividends	$201 - $1,000	NA
SP	ZWIEG STRATEGY FUND	$1,001 - $15,000	Dividends	None - $200	NA
	PRUDENTIAL SECURITIES - IRA				
	CHRYSLER CORP	None - $1,000	Dividends	None - $200	NA
	GE CAPITAL CORP - NOTES	$1,001 - $15,000	Interest	$201 - $1,000	NA
	RESOLUTION FUNDING CORP	$15,001 - $50,000	Dividends	None - $200	NA
	PRUDENTIAL COMMAND MONEY FUND	$15,001 - $50,000	Dividends	$201 - $1,000	NA
	MOTOROLA, INC	$1,001 - $15,000	Dividends	None - $200	NA
	NUCOR CORP		Dividends	None - $200	S
	OFFICE DEPOT, INC	$1,001 - $15,000	Dividends	None - $200	NA
	SENSORMATIC ELECTRONIC CORP	$1,001 - $15,000	Dividends	None - $200	NA
	SUMMIT PROPERTIES, INC	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	AIM EQUITY FUNDS	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	MCDONALDS CORP		Dividends	None - $200	S
	PARK PLAZA OFFICE CONDO ASSOCIATES, LLC	$15,001 - $50,000	Capital Gains	None - $200	NA
	BREED TECHNOLOGIES, INC	$1,001 - $15,000	Dividends	None - $200	NA
	FIRST FINANCIAL FUND	$1,001 - $15,000	Dividends	$1,001 - $2,500	NA
	HEWLETT PACKARD, INC		Dividends	None - $200	S
	INTERNATIONAL PAPER CO		Dividends	None - $200	S
	UTS NET LOW	$15,001 - $50,000	Dividends	$201 - $1,000	NA

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CHEDULE III -- ASSETS AND "UNEARNED" INCOME

UTS NET LOW	$15,001 - $50,000	Dividends	$201 - $1,000	NA
GLENAYRE TECHNOLOGIES, INC	$1,001 - $15,000	Dividends	None - $200	NA
LSI LOGIC, INC		Dividends	None - $200	S
COMMERCIAL FEDERAL CORP	$1,001 - $15,000	Dividends	None - $200	P
EASTMAN KODAK	$1,001 - $15,000	Dividends	None - $200	P
NEWS CORP	$1,001 - $15,000	Dividends	None - $200	P
HFS, INC	$1,001 - $15,000	Dividends	None - $200	P
CENDENT CORP	$1,001 - $15,000	Dividends	None - $200	E
3COM CORP	$1,001 - $15,000	Dividends	None - $200	P
WACHOVIA BANK	None - $1,000	Interest	None - $200	P
SEA CONTAINERS, LTD	$1,001 - $15,000	Dividends	None - $200	P
WESTSIDE 2000 LTD	$500,001 - $1,000,000	Capital Gains	None - $200	P
ASTRONICS CORP	$1,001 - $15,000	Dividends	None - $200	P
COMPUTERVISION, INC	None - $1,000	Dividends	None - $200	P
U S WEST MEDIA	$1,001 - $15,000	Dividends	None - $200	P
RAYTHEON	None - $1,000	Dividends	None - $200	E
CONGRESSIONAL FEDERAL CREDIT UNION	$1,001 - $15,000	Interest	None - $200	NA
LOT - 515-517 N. POPLAR ST 1/2 INTEREST	$15,001 - $50,000			NA
STATE EMPLOYEES RETIREMENT SYSTEM	$15,001 - $50,000	Interest	$201 - $1,000	
NATIONAL EQUITY TRUST	$1,001 - $15,000	Dividends	None - $200	P

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP DC JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	APPLE COMPUTER	Purchase	05/14/1997	$1,001 - $15,000
	APPLE COMPUTER	Sold	05/05/1997	$1,001 - $15,000
	3COM CORP	Purchase	03/18/1997	$1,001 - $15,000
	3COM CORP	Sold	05/29/1997	$1,001 - $15,000
	HEWLETT PACKARD	Sold	05/14/1997	$1,001 - $15,000
	INTERNATIONAL PAPER	Sold	05/15/1997	$1,001 - $15,000
	ES LOGIC, INC	Sold	03/14/1997	$1,001 - $15,000
	MCDONALDS CORP	Sold	08/08/1997	$1,001 - $15,000
	NUCOR CORP	Sold	08/08/1997	$1,001 - $15,000
	COMMERCIAL FEDERAL CORP	Purchase	01/24/1997	$1,001 - $15,000
	EASTMAN KODAK CO	Purchase	08/08/1997	$1,001 - $15,000
	HFS, INC	Purchase	05/29/1997	$1,001 - $15,000
	HFS, INC	Exchange	12/22/1997	$1,001 - $15,000
	CENDENT CORP	Exchange	12/22/1997	$1,001 - $15,000
	NEWS CORP ADR	Purchase	08/08/1997	$1,001 - $15,000
	STATE EMPLOYEES RETIREMENT SYSTEM	Exchange		$15,001 - $50,000
	(OMITTED FROM 1996 DISCLOSURE FORM BY ACCIDENT)			
	ASTRONICS CORP	Purchase	03/18/97	$1,001 - $15,000
	COMPUTERVISION INC	Purchase	03/18/97	$1,001 - $15,000
	U S WEST MEDIA	Purchase	04/25/97	$1,001 - $15,000
	SEA CONTAINERS LTD	Purchase	03/18/97	$1,001 - $15,000
	WESTSIDE 2000 LTD	Purchase	11/01/97	$100,001 - $250,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	WACHOVIA BANK (SAVINGS)	Purchase		$1,001 - $15,000
	RATHEON (SPIN OFF FROM GM)	Exchange	12/24/97	$1,001 - $15,000

CHEDULE V -- LIABILITIES

eport liabilities of over $10,000 owed to any one creditor , ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
xclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see structions, pages 21-22.

P,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	REILLY MORTGAGE GROUP	MORTGAGE-EAST TOWNE MANOR, INC. CHARLOTTE, NC	$500,001 - $1,000,000
	WACHOVIA BANK	MORTGAGE-WESTSIDE 2000, LLP, -CHARLOTTE, NC	$250,001 - $500,000

CHEDULE VII -- FACT-FINDING, SUBSTANTIAL PARTICIPATION, AND OTHER TRAVEL

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by campaign funds; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-25.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
HE ASPEN INSTITUTE	FEB. 14-17	CHARLOTTE, NC-MANALPAN, FL-CHARLOTTE, NC	Y	Y	Y	NO
HE ASPEN INSTITUTE	MAR. 7-9	WASH., DC-HERSHEY, PA-WASH., DC	Y	Y	Y	NO
HE ASPEN INSTITUTE	MAR. 31-APR. 5	WASH., DC-LANAI, HI-WASH., DC	Y	Y	Y	NO
HE ASPEN INSTITUTE	MAY 24-28	WASH., DC-BARCELONA, SPAIN-WASH., DC	Y	Y	Y	NO
HE BROOKINGS INSTITTUTE	JAN. 3-5	WASH., DC-ANNAPOLIS, MD., WASH., DC	Y	Y	Y	NO

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, pages 25-26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
PARTNER	MIDSOUTH CAPITAL GROUP, CHARLOTTE, NC
DIRECTOR	EAST TOWNE MANOR, INC., CHARLOTTE, NC
LIMITED PARTNER	WESTSIDE PROFESSIONAL ASSOCIATES LTD., CHARLOTTE, NC
DIRECTOR	WESTSIDE 2000 LLC, CHARLOTTE, NC

COMPUTATION OF VALUE FOR DISCLOSURE STATEMENT

MELVIN L. WATT

DECEMBER 31, 1997

EAST TOWNE MANOR, INC.		
OWNERSHIP INTEREST		33.33%
COMPUTATION OF FAIR VALUE OF BUSINESS:		
ESTIMATED ANNUAL NET CASH FLOW	$215,000	
CAPITALIZATION RATE	12%	
COMPUTED VALUE OF BUSINESS (GOING CONCERN BASIS)	$1,791,700	$597,250
MORTGAGE PAYABLE	$2,622,800	$874,250

WESTSIDE 2000, LLP		
OWNERSHIP PERCENTAGE		20%
COMPUTATION OF FAIR VALUE OF BUSINESS		
LAND AND BUILDINGS AT COST	$2,180,375	$436,075
MORTGAGES PAYABLE (12-31-97) (TOTAL LOAN COMMITMENT $2,600,000)	$1,483,493	$296,698

J.C. WATTS, JR.
5TH DISTRICT, OKLAHOMA

MICHAEL J. HUNTER
CHIEF OF STAFF

COMMITTEES
NATIONAL SECURITY
VICE CHAIR
SUBCOMMITTEE ON MILITARY PERSONNEL
SUBCOMMITTEE ON PROCUREMENT
TRANSPORTATION AND INFRASTRUCTURE
SUBCOMMITTEE ON AVIATION
SUBCOMMITTEE ON SURFACE TRANSPORTATION

Congress of the United States
House of Representatives
Washington, DC 20515–3604

OFFICES
1210 LONGWORTH BUILDING
WASHINGTON, DC 20515
(202) 225-6165

2420 SPRINGER DRIVE
SUITE 120
NORMAN, OK 73069
(405) 329-6500

AMOUEST BANK BUILDING
601 S.W. D AVENUE, SUITE 205
LAWTON, OK 73501
(580) 357-2131

JUN 15 1998

June 15, 1998

Robin H. Carle
The Clerk, U. S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington, DC 20515-6612

MC

Dear Ms. Carle:

Enclosed please find my 1997 Financial Disclosure Statement together with two copies as required.

My accountant and legal counsel are in the process of finalizing a wrap-up report on my company, Esquire Properties', ownership and sale of Woodside Apartments last year. They anticipate completing their work in the next thirty days. If the report is at variance with any of the representations reflected in my statement, I will amend my statement in accordance therewith promptly. This statement is submitted with that caveat after consultation with counsel to the Committee on Standards of Official Conduct.

Sincerely,

J. C. Watts, Jr.
Member of Congress

cc: John Vargo
Counsel
Committee on Standards of Official Conduct
HT2 Capitol
Washington, DC 20515-6328

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
98 JUN 19 PM 4:29

JUN 15 1998
(Office Use Only)

J. C. Watts, Jr
(Full Name)

3705 Calais Ct
(Mailing Address)

Norman OK 73072

Daytime Telephone 202-225-6165

Filer Status	[X] Member of the U.S. House of Representatives	State OK District 04	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [X] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) 6-15-98

4329

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	First Baptist Church, Slidell, LA	Ministerial Compensation	$3,232.40
	Christian Life Center, Mt. Home, ID	Ministerial Compensation	$443.00
	First Baptist Church, Moore, OK	Ministerial Compensation	$200.00
	Metropolitan Baptist, Nashville, TN	Ministerial Compensation	$1,663.94
	Two Rivers Baptist, Nashville, TN	Ministerial Compensation	$500.00
	Thomas Road Baptist, Lynchburg, VA	Ministerial Compensation	$2,500.00
	River of Life Assembly of God, Phoenix, AR	Ministerial Compensation	$1,000.00
	TriCity Baptist Church, Kansas City, MO	Ministerial Compensation	$2,204.85
	First Baptist Church, Orlando, FL	Ministerial Compensation	$2,000.00
	Bottom Line First Baptist Church, Ft. Lauderdale, FL	Ministerial Compensation	$1,000.00
	Valley View Baptist Church, Oklahoma City, OK	Ministerial Compensation	$500.00
	Snow Hill Baptist Church, Tuttle, OK	Minsterial Compensation	$200.00
	First Southern Baptist Church, Del City, OK	Ministerial Compensation	$200.00
	Crossroads of the Rockies Nazarene Church, Lakewood, CO	Ministerial Compensation	$4,127.00
	More Grace Ministry	Spouse's Religious Ministry	NA

For payments to charity in lieu of honoraria, use Schedule II.

4330

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium
A separate confidential list of charities receiving such payments must be filed directly with the Committe on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package For further information, see Instructions, pages 13-14

Source	Activity	Date	Amount
Examples Association of American Associations, Wash , D C	Speech	Feb 2, 1994	$2,000
XYZ Magazine	Article	Aug 13, 1994	$500
First Baptist Church of Ada, Ada, OK	Church Service	May 18, 1997	$350 00
First Baptist Church of Duncan, Duncan, OK	Church Service	June 29, 1997	$200 00
American Business Womens' Association Area Council, Oklahoma City, OK	Speech	September 13, 1997	$100 00
New Beginnings Fellowship Church, Moore, OK	Church Service	September 21, 1997	$200 00
Edmond Mayor's Prayer Breakfast Committee	Speech	November 3, 1997	$250.00
Chuck Reynolds Ministry, Edmond, OK	Speech	August 2, 1997	$250 00
Omaha Prayer Breakfast, Omaha, NE	Speech	March 28, 1997	$2,000.00

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC *Examples* SP JT	Mega Corp. Stock 123 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
Esquire Properties, Inc. DBA Woodside Apartments, 8517 E. Reno, Midwest City, OK	$1,000,001 - $5,000,000	Rent	None	S
Eufaula Real Property, 614 S. "F" Street, Eufaula, OK	$50,001 - $100,000	Rent	$2,501 - $5,000	NA

4332

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Woodside Apartments, 8517 E. Reno, Midwest City, OK	Sold	April 28, 1997	$1,000,001 - $5,000,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year.
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000. For further information, see Instructions, pages 21-22.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Nations Bank (formerly Boatmens Bank), Oklahoma City, OK	Personal Business Loan	$15,001 - $50,000
	Security National Bank, Norman, OK	Personal Business Loan	$15,001 - $50,000
	Republic National Bank, Norman, OK	Personal Business Loan	$15,001 - $50,000
	Jerome Ansel, Boca Raton, FL	Personal Business Loan	$15,001 - $50,000
	The Bondholders of the OCFA Multi-Family Housing Revenue Bonds Series Issue 1994 (A&B) Esquire Properties, Inc , Woodside Apartments Project	Mortgage-Woodside Apartments	$1,000,001 - $5,000,000
	Tri-Con Capital	Equipment Lien-Woodside Apts.	$100,001 - $250,000
	City National Bank, Lawton, OK	Personal Business Loan	$15,001 - $50,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. **Exclude:** Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar.2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
The Jesse Helms Center	November 3, 1997	Oklahoma City, OK-Charlotte, NC-Washington, DC	N	Y	N	None
Washington Family Council	November 10, 1997	Norman, OK-Seattle, WA-Norman, OK *	N	Y	N	None
Houston Fellowship of Christian Athletes	November 14-15, 1997	Oklahoma City, OK-Houston, TX-Oklahoma City,OK	Y	Y	N	None
Athletes in Action	December 7-8, 1997	Oklahoma City, OK-Dallas, TX-Oklahoma City, OK	N	N	N	None
Downtown Athletic Club	December 15, 1997	Oklahoma City, OK-New York City, NY-Washington, DC	Y	Y	N	None
Southwestern Bell Cotton Bowl	December 31, 1997	Norman, OK-Dallas, TX-Norman, OK	Y	Y	Y	None
*Washington Family Council provided lodging and food only. Travel was provided by federal political committees in connection with Mr. Watts participation in several campaign functions in Washington.						
High Point Baptist Chapel	October 25-26, 1997	New York, NY-Philadelphia, PA-Oklahoma City, OK (Spouse's itinerary was Okla. City to Philadelphia and return)	N	N	Y	One

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure–Destination–Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Ft. Valley State University	Feb. 16-17, 1997	Norman, OK-Columbus GA-Norman, OK	Y	Y	N	None
Austin Fellowship of Christian Athletes	Feb. 22-25, 1997	Oklahoma City, OK-Austin, TX-Oklahoma City, OK	Y	Y	N	None
Thomas Road Baptist Church	March 8-10, 1997	Oklahoma City, OK-Lynchburg, VA	Y	Y	N	None
American Bakers Assoc.	April 6-7, 1997	Oklahoma City, OK-Phoenix, AZ-Oklahoma City, OK	Y	Y	N	None
Tri-City Ministries	April 12, 1997	Oklahoma City, OK-Kansas City, MO	N	N	N	None
Abilene Christian College	April 14-15, 1997	Kansas City, MO-Abilene, TX	Y	Y	N	None
Children's Miracle Network	April 19-22, 1997	Oklahoma City, OK-Orlando, FL-Washington, DC	Y	Y	N	None
Goldwater Institute	May 29-31, 1997	Ft. Lauderdale, FL-Phoenix, AR-Oklahoma City, OK	Y	Y	N	None
Nash Finch Company	September 5-6, 1997	Washington, DC-Vancouver, BC-Oklahoma City, OK	Y	Y	N	None
Jarvis Christian College	October 10-11, 1997	Norman, OK-Dallas, TX-Jarvis, TX-Dallas, TX-Norman, OK	N	N	N	None
North Texas Commission	October 10-11	" "	Y	Y	N	None
The Chris Rock Show	October 24, 1997	Washington, DC-New York, NY	N	N	N	None

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Organization
Board Member	Oklahoma Fellowship of Christian Athletes
Board Member	Oklahoma Special Olympics

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
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(13)

HAND DELIVERED
(Office Use Only)

Henry Arnold Waxman
(Full Name)

2204 Rayburn Building, Washington, D.C. 20515
(Mailing Address) Daytime Telephone

Filer Status: [x] Member of the U.S. House of Representatives — State: Ca — District: 29 [ ] Officer or Employee — Employing Office

Report Type: [x] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date ___

A *$200 penalty* shall be assessed against anyone who files more than 30 days late

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [ ] No [x]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II** — Yes [x] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III** — Yes [x] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV** — Yes [x] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V** — Yes [ ] No [x]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI** — Yes [ ] No [x]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII** — Yes [x] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** — Yes [ ] No [x]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX** — Yes [ ] No [x]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [x]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [x]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Henry A. Waxman

DATE (Month/Day/Year): MAY 15, 1998

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Name	Henry A. Waxman	Page 1 of 13

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	N A		

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
Examples XYZ Magazine	Article	Aug. 13, 1997	$500
American Hospital Association, Wash. D. C.	speech	Jan 27, 1997	$2000
Self-Insurance Inst., Wash. D. C.	speech	Feb. 26. 1997	$2000
Sanford C. Bernstein, & Co., New York, New York	speech	June 6, 1997	$2000
Computer & Communications, Wash. D. C.	speech	June 9, 1997	$2000
National Assoc. of Pharmaceutical Manufacturers Wash.D.C.	speech	June 24, 1997	$2000
National Assoc. Public Hospitals, San Francisco CA	speech	June 27, 1997	$2000
Nat'l Assoc. for Medical Equipment Services Wash.D.C.	speech	Sept 16. 1997	$2000
Am. Society of Health System Pharmacists, Wash DC	speech	Sept 25, 1997	$2000
Int'l Assoc. Physicians in AIDS Care	speech	Nov. 10. 1997	$2000

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Honoraria directed to Charity in 1997

January 27, 1997 Am.Hospital Assoc.	$2000	- $1000 to United Jewish Welfare $1000 to Multiple Sclerosis Society
February 26, 1997 Self-Insurance Inst.	$1500 $1000	$500 Adas Israel Jewish Family Services
June 6, 1997 Sanford C. Bernstein & Co	$2000	$500 Westside Jewish Community $500 Bethesda Fellowship Adult Day Care $1000 United Jewish Welfare Fund
June 9, 1997 Computer & Communications	$2000	Nat'l Multiple Sclerosis Society Industry Assoc.
June 24, 1997 Nat'l Assoc. Pharmaceutical Manufacturers	$2000	$1000 LA Free Clinic $500 Faith & Politics $500 UJA
June 27, 1997 Nat'l Assoc. Public Hospitals	$2000	$1000 Gay & Lesbian Center $500 Oxfam $500 Adas Israel
September 16, 1997 NAMES	$2000	$500 Jewish Programs for the Disabled $500 Brandeis University $500 Venice Family Clinic
September 25, 1997 Am.Society of Health Systems Pharmacists	$2000	Nat'l Multiple Sclerosis Society
November 10, 1997 Intl'Assoc. Physicians in AIDS Care	$1000	Kehillat Israel, Jewish Cong.of Pacific Palisades, 1601 Sunset Blvd, PP $500 Vista Del Mar, Child & Family Services $500 Mazon, 12401 Wilshire Blvd. Los Angeles 90025

Name | Page 5 of 13

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not self-directed, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income))	Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Transaction (P, S, E)
SP	Mega Corp. Stock	E: X	DIVIDENDS: X	IV: X	P
DC	Simon & Schuster	Indefinite	INTEREST: X; Other: Royalties	VI: X	
JT	1st Bank of Paducah, KY accounts	F: X		IX: X	
JT	Fidelity Low Priced Fund (IRA)	E: X	DIVIDENDS: X; INTEREST: X; CAPITAL GAINS: X	V: X	P
	Sogen Int'l Fund (IRA)	C: X	DIVIDENDS: X; INTEREST: X; CAPITAL GAINS: X	V: X	
JT	Seminole County Fl.	C: X	INTEREST: X	IV: X	
JT	3 US Treasury Bonds	C: X	INTEREST: X	V: X	
JT	Calvert Tax Free (Money Market)	C: X	INTEREST: X	IV: X	P
JT	Fidelity Contrafund	C: X	DIVIDENDS: X; INTEREST: X; CAPITAL GAINS: X	III: X	P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 6 of 12

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P. S. E
JT	Fidelity Magellan			X										X		X	X						X									
JT	Fidelity Fund				X									X		X	X							X								
JT	PBHG Fund			X										X		X	X					X										
JT	T Rowe Price Value Fund			X										X		X	X							X								P
JT	T Rowe Price Int'l Stock Fund (income)				X									X		X	X								X							P
JT	T Rowe Price Equity Fund			X										X		X	X							X								P
SP	Fidelity Magellan (IRA)			X										X		X	X							X								
SP	All American Term Trust Inc			X																												
SP	MFS Intermediate Income Trust			X												X							X									
SP	RMA Money Market Portfolio			X												X							X									
SP	FNR-113-PJ Mortgage			X												X							X									
SP	2 US Treasury Bonds				X											X									X							
SP	TVA Bond				X											X									X							
SP	2002 Target Term Trust Inc			X												X								X								
SP	CA Health FFA Ref. (Municipal Bond)				X											X							X									
SP	Desert Sands Cal USD (Municipal Bond)				X											X							X									
SP	Los Angeles Ca. sr. A Municipal Bond				X											X							X									
SP	Moulton Niguel CA Water Municipal Bond				X									X		X		X								X						

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 1 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Templeton Foreign Fund				X									X			X								X						
SP	Vallejo Calif. Unified School Dist. Municipal Bond																														
SP	Calif. State Insurance Bd. Municipal Bond																														
SP	Concord Ca. Redevelopment Agency Municipal Bond				X																										
SP	Bank America Corp Preferred Stock	X												X			X														
SP	Sun America Capitol Trust	X																													
SP	Travelers Group Income Preferred Stock	X												X			X														
SP	US Treasury Note	X															X								X						
SP	Blackrock Term Trust	X												X			X							X							
SP	Blackrock No. Am. Gov't Insurance Trust	X																						X							
SP	Chase Manhattan Preferred Stock	X												X			X							X							
SP	2002 Target Term Trust	X																						X							
SP	Midland Bank Preferred																X							X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 5 of 13

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
SP	Midland Bank Preferred	X																					X									
SP	Comidsco Inc. Preferred	X																														
SP	TV Electric Capitol Prefered	X																					X									
SP	P G & E	X																														

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SCHEDULE IV — TRANSACTIONS

Name: Waxman, Henry A.

Page 9 of 3

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-97		X								
	Midland Bank Preferred		X		7 15 97		X								
	Pacific Gas & Electric Board		X		7 15 97		X								
	2002 Target Term Trust		X		7 15 97		X								
	Comidsco Preferred Stock		X				X								
	TU Electric Capitol Preferred Stock		X				X								
	California State Insurance Board Municipal Bond	X			7 15 97		X								
	LA California SRA Municipal Bond	X			6 23 97		X								
	Moulton Niguel CA Water Dist. Municipal Bond	X			6 23 97		X								
	Vallejo Ca Unified School Dist. Municipal Bond	X			6 20 97		X								
	Concord Calif. Redevelopment Agency (Municipal Bond)	X			7 22 97		X								
	CA. Health FFA Ref. Municipal Bond	X			7 11 97		X								
	Shaw Communications, Inc. Preferred Stock	X			9 25 97		X								
	Shaw Communication, Inc. Preferred Stock		X		10 2 97		X								
JT	Fidelity Contrafund	X			10 9 97	X									
JT	Fidelity Contrafund	X			3 14 97	X									
JT	T.Rowe Price - Equity Income	X			3 21 97	X									

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Name

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
JT	T. Rowe Price-Equity Income	X			6 10 97	X									
	" "	X			6 18 97	X									
	" "	X			12 1 97	X									
JT	T Rowe Price-Int'l Stock	X			3 14 97	X									
	" "	X			7 9 98	X									
JT	T Rowe Price - Value Fund	X			3 14 97	X									
	" "				10 10 97										
SP	Bank America Corp Preferred Stock		X		9 30 97		X								
SP	Sun America Capitol Trust		X		6 16 97		X								
SP	Travelers Group Income Dep Share		X		7 1 97	X									
SP	US Treasury Note		X		7 9 97		X								
SP	Blackrock Term Turst		X		7 15 97		X								
SP	Blackrock No. America Gov't Ins. Trust		X		7 15 97		X								
SP	Chase Manhattan Preferred Stock		X		7 15 97										
								X							

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Name	Page 11 of 13
Waxman, Henry	

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	NA											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NA		

Use additional sheets if more space is required.

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Name Waxman, Henry | Page 13 of 13

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D C —Chicago—Wash., D C	N	N	N	N
Examples Roycroft Corporation	Aug 6-13	Wash., D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
Sanford C. Bernstein & Co.Inc	6/5--6/97	2 shuttle tickets Wash-NYC-Wash	Y	Y	Y	
National Assoc. Public Hosp.	6/27/97 6/30/97	2 tickets (SF-LA) Wash-Sf-La-Wash	Y	Y	Y	
Touro College, Huntington,NY	10/12/97 10/13/97	2 tickets Wash-NYC-Wash	Y	Y	Y	
Aspen Institute	2/14/97 2/17/97	2 tickets Wash-WPalm Beach-Wash	Y	Y	Y	
Aspen Institute	5/24/97 5/28/97	2 tickets Wash-Barcelona-Wash	Y	Y	Y	
German Marshall Fund	8/23/97 8/27/97	2 tickets Wash-Berlin-Wash	Y	Y	Y	
Central Board of Jewish Community in Greece	11/21/97 11/25/97	2 tickets Wash-Athens-Wash	Y	Y	Y	
Aspen Institute	3/7-9/97	2 tickets Wash- Pa-Wash	y	y	y	

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
	NA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NA	

GPO 1998 46 260 (mac)

Use additional sheets if more space is required.

Congress of the United States
House of Representatives
Washington, DC 20515–0529
HENRY A. WAXMAN

INSIDE MAIL

May 21, 1998

Honorable Robin H. Carle
Office of the Clerk
B 106 Cannon Building

Dear Ms. Carle:

I am writing to amend my Financial Disclosure Statement for 1997. In Schedule III and IV, I made typographical errors. The corrections have been made. I would appreciate this new document be made part of my permanent file.

Sincerely,

Henry A. Waxman

Henry A. Waxman
Member of Congress

HAW:nlm

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Henry Arnold Waxman
(Full Name)

2204 Rayburn Building, Washington, D. C. 20515
(Mailing Address) Daytime Telephone

1998 MAY 26 PM 12:43
CLERK
HOUSE OF REPRESENTATIVES
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State CA District 29	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[X] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If yes, complete and attach Schedule IV	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION— Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. Appx. § 104 and 18 U.S.C. § 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Henry A Waxman

DATE (Month/Day/Year): May 22, 1998

4352

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Henry Arnold Waxman
(Full Name)

2204 Rayburn Building, Washington, D.C. 20515
(Mailing Address) Daytime Telephone

(Office Use Only)

Filer Status	[x] Member of the U.S. House of Representatives	State CA District 29	[ ] Officer or Employee	Employing Office
Report Type	[x] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I. — Yes [ ] No [x]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II. — Yes [x] No [ ]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III. — Yes [x] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If yes, complete and attach Schedule IV. — Yes [x] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V. — Yes [ ] No [x]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI. — Yes [ ] No [x]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII. — Yes [x] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VII. — Yes [ ] No [x]

IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX. — Yes [ ] No [x]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [x]

EXEMPTION—Have you excluded from this report any other assets, unearned income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [x]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (5 U.S.C. app. § 104 and 18 U.S.C. § 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Henry A. Waxman

DATE (Month/Day/Year): MAY 15, 1998

Name	Page
Henry A. Waxman	3 of 13

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	N/A		

For payments to charity in lieu of honoraria, use Schedule II.

Name Waxman, Henry A.	Page 3 of 3

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 19, 1997	$500
	American Hospital Association, Wash. D. C.	speech	Jan 27, 1997	$2000
	Self-Insurance Inst., Wash. D. C.	speech	Feb. 26, 199.	$2000
	Sanford C. Bernstein, & Co., New York, New York	speech	June 6, 1997	$2000
	Computer & Communications, Wash. D. C.	speech	June 9, 1997	$2000
	National Assoc. of Pharmaceutical Manufacturers Wash. D.C.	speech	June 24, 1997	$2000
	National Assoc. Public Hospitals, San Francisco CA	speech	June 27, 1997	$2000
	Nat'l Assoc. for Medical Equipment Services Wash. D.C.	speech	Sept 16, 1997	$2000
	Am. Society of Health System Pharmacists, Wash DC	speech	Sept. 25, 1997	$2000
	Int'l Assoc. Physicians in AIDS Care	speech	Nov. 10 1997	$2000

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Honoraria directed to Charity in 1997

January 27, 1997 Am.Hospital Assoc.	$2000 -	$1000 to United Jewish Welfare $1000 to Multiple Sclerosis Society
February 26, 1997 Self-Insurance Inst.	$1500	$500 Adas Israel $1000 Jewish Family Services
June 6, 1997 Sanford C. Bernstein & Co	$2000	$500 Westside Jewish Community $500 Bethesda Fellowship Adult Day Care $1000 United Jewish Welfare Fund
June 9, 1997 Computer & Communications Industry Assoc.	$2000	Nat'l Multiple Sclerosis Society
June 24, 1997 Nat'l Assoc. Pharmaceutical Manufacturers	$2000	$1000 LA Free Clinic $500 Faith & Politics $500 UJA
June 27, 1997 Nat'l Assoc. Public Hospitals	$2000	$1000 Gay & Lesbian Center $500 Oxfam $500 Adas Israel
September 16, 1997 NAMES	$2000	$500 Jewish Programs for the Disabled $500 Brandeis University $1000 Venice Family Clinic
September 25, 1997 Am.Society of Health Systems Pharmacists	$2000	Nat'l Multiple Sclerosis Society
November 10, 1997	$2000	Int'l Assoc. of Physicians in AIDS Care - $1000 Kehillat Israel, Jewish Congregation of Pacific Palisades, $500 Vista Del Mar, $500 to Mazon

Name | Page 5 of 13

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT) in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A		BLOCK B												BLOCK C							BLOCK D											BLOCK E
			A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: for Example Farming Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples*	SP	Mega Corp Stock				X								X										X									P
			Simon & Schuster			Indefinite		X									X				Royalties						X			X			
			1st Bank of Paducah KY accounts																															
	Fidelity Low Priced Fund (IRA)						X								X		X	X							X									
	Sogen Int'l Fund (IRA)					X									X		X	X								X								
JT	Seminole County Fl					X											X								X									
JT	J US Treasury Bonds					X											X								X									
JT	Calvert Tax Free (Money Market)					X											X								X									
JT	Fidelity Contrafund					X									X		X	X						X										P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 6 of 12

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
JT	Fidelity Magellan			X										X		X	X						X									
JT	Fidelity Fund				X									X		X	X							X								
JT	PBHG Fund			X										X		X	X					X										
JT	T Rowe Price Value Fund			X										X		X	X							X								P
JT	T Rowe Price Int'l Stock Fund (Income)				X									X		X	X								X							P
JT	T Rowe Price Equity Fund			X										X		X	X							X								P
SP	Fidelity Magellan (IRA)			X										X		X	X							X								
SP	All American Term Trust Inc			X												X								X								
SP	MFS Intermediate Income Trust			X												X							X									
	RMA																															
SP	Money Market Portfolio			X												X							X									
SP	FNR-113-PJ Mortgage			X												X							X									
SP	2 US Treasury Bonds				X											X									X							
SP	TVA Bond				X											X									X							
SP	2002 Target Term Trust Inc.			X												X								X								S
SP	CA Health FFA Ref. (Municipal Bond)				X											X							X									P
SP	Desert Sands Cal USD (Municipal Bond)				X											X						X										P
SP	Los Angeles Ca. sr. A Municipal Bond				X											X							X									P
SP	Moulton Niguel CA Water Municipal Bond				X											X							X									P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

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SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: None	A $1 - $1,000	B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transactions
JT	Templeton Foreign Fund					X								X		X		X							X							
SP	Vallejo Calif. Unified School Dist. Municipal Bond					X										X							X									P
SP	Calif. State Insurance Bd. Municipal Bond					X																	X									P
SP	Concord Ca. Redevelopment Agency Municipal Bond					X										X							X									P
SP	Bank America Corp Preferred Stock	X												X			X								X							S
SP	Sun America Capital Trust	X												X			X							X								S
SP	Travelers Group Income Preferred Stock	X												X			X															S
SP	US Treasury Note	X														X	X															S
SP	Blackrock Term Trust	X												X			X							X								S
SP	Blackrock No. Am. Gov't Insurance Trust	X																						X								S
SP	Chase Manhattan Preferred Stock	X												X			X							X								S
																								X								
SP	Midland Bank Preferred																X															S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 5 of 13

SP. OP. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $65,000	E $65,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transactions: P, S, E
SP	Comidisco Inc. Preferred	X												X			X						X									S
SP	TU Electric Capital Preferred	X												X			X						X									S
SP	P G & E	X												X			X						X									S

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Name Waxman, Henry A. | Page 9 of 13

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
SP	Midland Bank Preferred		X		7-15-97		X								
"	Pacific Gas & Electric Board		X		7-15-97		X								
"	2007 Target Term Trust		X		7-15-97		X								
"	Comidsco Preferred Stock		X		7-15-97		X								
"	TU Electric Capitol Preferred Stock		X		7-15-97		X								
"	California State Insurance Board Municipal Bond	X			7-15-97		X								
"	LA California SRA Municipal Bond	X			6-23-97		X								
"	Moulton Niguel CA Water Dist. Municipal Bond	X			6-23-97		X								
"	Vallejo Ca Unified School Dist. Municipal Bond	X			6-20-97		X								
"	Concord Calif. Redevelopment Agency (Municipal Bond)	X			7-22-97		X								
"	CA. Health FFA Ref. Municipal Bond	X			7-11-97		X								
"	Shaw Communications, Inc. Preferred Stock	X			9-25-97		X								
"	Shaw Communication, Inc. Preferred Stock		X		10-2-97		X								
JT	Fidelity Contrafund	X			10-9-97	X									
JT	Fidelity Contrafund	X			3-14-97	X									
JT	T.Rowe Price - Equity Income	X			3-21-97	X									

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Name

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
JT	T. Rowe Price-Equity Income	X			6 10 97	X									
	" "	X			6 18 97	X									
	" "	X			12 1 97	X									
JT	T Rowe Price-Int'l Stock	X			3 14 97	X									
	" "	X			7 9 98	X									
JT	T Rowe Price - Value Fund	X			3 14 97	X									
	" "				10 10 97	X									
SP	Bank America Corp Preferred Stock		X		9 10 97		X								
SP	Sun America Capitol Trust		X		6 16 97		X								
SP	Travelers Group Income Dep Share		X		7 1 97	X									
SP	US Treasury Note		X		7 9 97		X								
SP	Blackrock Term Turst		X		7 15 97		X								
SP	Blackrock No. America Gov't Inc. Trust		X		7 15 97		X								
SP	Chase Manhattan Preferred Stock		X		7 15 97		X								
SP	Desert Sands CAL USD (municipal bond)	X			12 22 97		X								

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Name Waxman, Henry | Page 11 of 13

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St. Dover, Del.*				X						
	NA											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example *Mr. Joseph H. Smith, Anytown, Anystate*	*Silver Platter (determination on personal friendship received from Committee on Standards)*	*$270*
NA		

Name	Page 12 of 12
Waxman, Henry	

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
Sanford C. Bernstein & Co. Inc	6/5--6/9	2 shuttle tickets Wash-NYC-Wash	Y	Y	Y	
National Assoc. Public Hosp.	6/27/97 6/30/97	2 tickets (SF-LA) Wash-SF-La-Wash	Y	Y	Y	
Touro College, Huntington, NY	10/12/97 10/1-3/97	2 tickets Wash-NYC-Wash	Y	Y	Y	
Aspen Institute	2/14/97 2/17/97	2 tickets Wash-WPalm Beach-Wash	Y	Y	Y	
Aspen Institute	5/24/97 5/28/97	2 tickets Wash-Barcelona-Wash	Y	Y	Y	
German Marshall Fund	8/23/97 8/27/97	2 tickets Wash-Berlin-Wash	Y	Y	Y	
Central Board of Jewish Community in Greece	11/21/97 11/25/97	2 tickets Wash-Athens-Wash	Y	Y	Y	
Aspen Institute	3/7-9/97	2 tickets Wash-Hershey-Pa-Wash	y	y	y	

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
	NA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U S Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	NA	

2204 Rayburn House Office Building
Washington, DC 20515-0529
(202) 225-3976

District Office
8436 West 3d Street
Suite 600
Los Angeles, CA 90048-4193
(213) 651-1040

Congress of the United States
House of Representatives
Washington, DC 20515–0529

HENRY A. WAXMAN
29th District, California

Ranking Member
Committee on Government Reform and Oversight
Member
Committee on Commerce
Democratic Steering Committee

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INSIDE MAIL

June 5, 1998

1

MC

Honorable Robin H. Carle
Office of the Clerk
B 106 Cannon Building

Dear Ms. Carle:

In preparing my Financial Disclosure Statement for 1997 I became aware that I inadvertently failed to disclose several assets belonging to my wife. As of the end of 1996, my wife owned:

1. All American Term Trust, with a value in Category C, producing Income from interest in Category IV.

2. Travelers Group Inc. Preferred Stock, with a value in Category C, producing income from dividends in Category IV.

3. TU Electric Capitol Preferred Stock, with a value in Category C, producing dividend income in Category IV.

4. Midland Bank Preferred Stock, with a value in Category C, providing dividend income in Category IV.

5. Sun American Capital Trust, with a value in Category C, providing Income from interest in Category IV.

6. Comidsco Preferred Stock, with a value in Category C, providing income from dividends in Category IV.

These assets are reflected in my 1997 report.

Sincerely,

Henry A. Waxman

Henry A. Waxman
Member of Congress

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 15 AM 11:45

HAND DELIVERED

MC (Office Use Only) 7

Wayne Curtis Weldon
(Full Name)

49 Weathervane Road
(Mailing Address)

Aston, Pennsylvania 19014

Daytime Telephone (202) 225-2011

Filer Status	[X] Member of the U.S. House of Representatives	State Pennsylvania District 7th	[ ] Officer or Employee — Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Wayne Curtis Weldon

DATE (Month/Day/Year): 5-13-98

4367

Name	Wayne Curtis Weldon	Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Crozer-Chester Medical Center	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name	Wayne Curtis Weldon	Page 3 of 7

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package

Source	Activity	Date	Amount
Examples Association of American Associations, Wash D C	Speech	Feb 2, 1997	$2,000
XYZ Magazine	Article	Aug 13, 1997	$500
St. John's University	Speech	October 4, 1997	$1,000.

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Name Wayne Curtis Weldon

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

*Pension

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								P
Examples DC	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Congressional Fed.Cr.Union			X												X						X										
	Sentry Federal Cred. Union		X													X						X										
	Franklin Mint Fed.Cr.Union		X													X						X										
	Kemper Investors Life Insur.Co. - Part. Dist.	X												*										X								
	700 4th St.,Washington,DC						X								X											X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Wayne Curtis Weldon

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	209 E.26th Ave.,Wildwood,NJ						X								X									X								
	CCMC 401(k) Kemper Fin.Svc.			X										*							N/A											
	CCMC 401(k) Nationwide			X										*							N/A											
															*Pension																	

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Franklin Mint Federal Credit Union	Mortgage - 700 4th Street Washington, DC				X						
	Franklin Mint Federal Credit Union	Mortgage - 209 E. 26th St. Wildwood, NJ			X							
	Joseph Larsen	Mortgage - 209 E. 26th St. Wildwood, NJ		X								
	Congressional Federal Credit Union	Loan (Tuition Costs)	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash , D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	Assoc. of Public Safety Communication & Cong.Fire Serv.Institute	May 12	Phila., PA - Chicago, IL-Phila., PA	N	Y	N	N
	Assoc. of Public Safety Communication & Cong.Fire Serv.Institute	Aug. 10-11	Phila., PA - Charlotte, NC-Phila., PA	Y	Y	N	N

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MC HAND DELIVERED (Office Use Only)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

David J. Weldon
(Full Name)

1602 Willard Road N.W.
(Mailing Address)

Palm Bay, FL 32907

Daytime Telephone 202-225-3671

Filer Status	[X] Member of the U.S. House of Representatives	State FL District 15	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

ERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

is Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon w itten application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL Dave Weldon

DATE (Month/Day/Year) 5/14/98

4374

Name David J. Weldon | Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

Block A	Block B												Block C							Block D											Block E
	A None	B $1 - $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify For Example Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	
SP					X								X										X								P
DC Examples																			Royalties									X			
JT						X									X										X						
Barnett Bank Accts, Winter Park			X												X						X										
Congressional Fed C.U. Acct			X												X						X										
Merrill Lynch Pacific Fd CIB IRA			X										X			X								N	/	A					
Merrill Lynch IRA Cash Acct		X													X									N	/	A					
Nations Bank IRA CD			X												X						X										
Merrill Lynch IRA Acct			X										X			X								N	/	A					P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David J. Weldon

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P. S. E
	Merrill Lynch IRA Acct						X							X			X								N	/	A				P
	Merrill Lynch IRA Acct						X							X			X								N	/	A				P
	Merrill Lynch IRA Acct						X							X			X								N	/	A				P
	ML Corp Bond High Inc B				X											X					X										P
	SunAmerica High Income				X											X					X										P
	Safeguard Scientifics			X										X			X				X										P
	Nokia Corp 'A'			X										X			X				X										P
	Microsoft Corp			X										X			X				X										P
	Boston Chicken Inc.			X										X			X				X										P
	America Online Inc.			X										X			X				X										P

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SCHEDULE IV — TRANSACTIONS

Name David J. Weldon

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	America Online Inc.	X			12-30-97	X									
	Boston Chicken Inc.	X			12-30-97	X									
	Microsoft Corp.	X			12-30-97										
	Nokia Corp 'A'	X			12-30-97	X									
	Safeguard Scientifics	X			12-30-97	X									
	SunAmerica High Income	X			12-30-97		X								
	Merrill Lynch Corp. Bond High Income B	X			12-30-97		X								

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342), travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D C —Chicago—Wash., D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
	American Israel Education Found.	Aug. 10-17	Orlando-NY-Tel Aviv-NY-Orl.	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

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CLERK OF THE HOUSE OF REPRESENTATIVES
HAND DELIVERED

MC

(Office Use Only) 5

Gerald C. "Jerry" Weller
(Full Name)

1309 Union Street
(Mailing Address)

Morris IL 60450

Daytime Telephone
202 225 3635

Filer Status				
	[X] Member of the U.S. House of Representatives	State IL District 11	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [ ] No [X]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII** Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

SIGNATURE OF REPORTING INDIVIDUAL: Jerry Weller

DATE (Month/Day/Year): 5-9-98

4379

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse; or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP, DC, JT *Examples* SP Mega Corp Stock SP 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
1309 A (Morris, Illinois)	$50,001 - $100,000	Rent	$5,001 - $15,000	NA
Prudential Utility Fund (IRA)	$15,001 - $50,000	Capital Gains and Dividends	None	NA
Duplex, Deerpath & Quail (Morris, IL)	$100,001 - $250,000	Rent	$5,001 - $15,000	NA
Morris Community Credit Union	$1,001 - $15,000	Interest	$1 - $200	NA
Prudential Equity Fund	$15,001 - $50,000	Capital Gains and Dividends	$1,001 - $2,500	NA
Jennison Growth Fund	$15,001 - $50,000	Capital Gains and Dividends	$1,001 - $2,500	NA
Drexler Technology Corporation Stock	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	NA

4380

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child Mark the highest amount owed during the year
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000 For further information, see Instructions, pages 21-22

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St , Dover, Del	$100,001 - $250,000
	Crossland Mortgage Company, Salt Lake City, UT	Mortgage on 1309 A Union Street, Morris, IL	$50,001 - $100,000
	First Financial Federal, Joliet, IL	Mortgage on duplex, Deerpath & Quail, Morris, Il	$100,001 - $250,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. **Exclude:** Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce Mega Corporation	Mar 2 Aug 6-12	Wash. D.C.-Chicago-Wash. D.C. Wash. D.C.-Los Angeles-Cleveland	N Y	N Y	N Y	N 4 Days
Financial Executives Institute	23 January - 24 January 1997	Chicago-Phoenix-Chicago	Y	Y	N	No
Aspen Institute	07 March - 09 March 1997	DC-Hershey, PA-DC	Y	Y	N	No
Chicago Board of Trade/ Chicago Mercantile Exchange	14 March - 17 March 1997	DC-Boca Raton-D.C.	Y	Y	N	No
American Land Title Association	12 April - 14 April 1997	DC-San Juan, Puerto Rico, DC	Y	Y	N	No
America-Israel Education Foundation	10 August - 17 August 1997	DC-Jerusalem-DC	Y	Y	N	No
America's Community Bankers	01 November - 03 November 1997	DC-San Francisco-DC	Y	Y	N	No
American Council of Young Political Leaders w/ USIA Grant and the Vietnam USA Society	11 November 1997 - 24 November 1997	DC-Hanoi, VietNam-DC	Y	Y	N	No

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Trustee	American Council of Young Political Leaders
Congressional Board of Advisors	Congressional Youth Leadership Council
Director	Ralls Art Collection

JERRY WELLER
11TH DISTRICT, ILLINOIS
130 CANNON BUILDING
WASHINGTON, D.C. 20515
(202) 225-3635
51 WEST JACKSON ST., SUITE 100
JOLIET, ILLINOIS 60432
(815) 740-2028
628-30 COLUMBUS ST., SUITE 205
OTTAWA, ILLINOIS 61350
(815) 433-0085

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UNITED STATES
HOUSE OF REPRESENTATIVES

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OVERSIGHT
SUBCOMMITTEE ON
SOCIAL SECURITY

21 May 1998

Robin Carle
Clerk, U.S. House of Representatives
H-154, The Capitol
Washington, D.C. 20515

MC (1)

Dear Ms. Carle:

Please treat this letter as a formal amendment to my financial disclosure statement for 1997.

Due to a typographical error, schedule VII incorrectly reflected the dates which I traveled to Vietnam. The dates indicated on Schedule VII were 11 November through 24 November 1997. However, **the correct dates are 15 November through 24 November. These dates included two full days of travel to Vietnam from the United States and two full days of travel from Vietnam to the United States.** This information is in agreement with the original travel disclosure form filed with the Clerk's office on 12 December 1997.

Please do not hesitate to contact me or Alan Tennille of my staff if you have any questions or need further clarifications at 5-3635.

Thank you for your help in amending my statement.

Sincerely,

Jerry Weller
Member of Congress

JCW:atn

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Robert Wexler (Full Name)
23316 Alora Drive (Mailing Address)
Boca Raton FL 33433
202 225 3001 Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State Florida District 19	[ ] Officer or Employee — Employing Office	**A *$200 penalty* shall be assessed against anyone who files more than 30 days late.**
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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SIGNATURE OF REPORTING INDIVIDUAL: Robert Wexler

DATE (Month/Day/Year): 5/6/98

4385

Name Robert Wexler	Page 2 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Example: Income state	Approved Teaching Fee	$6,000
Example: State of Maryland	Legislative Pension	$9,000
Example: Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Example: Ontario County Board of Education	Spouse Salary	NA
NONE		

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i e , speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct An envelope for transmitting the list is included in each Member's filing package

Source	Activity	Date	Amount
Examples Association of American Associations, Wash , D C	Speech	Feb 2, 1997	$2,000
XYZ Magazine	Article	Aug 13, 1997	$500
NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	E $15,001 – $50,000	F $50,001 – $100,000	G $100,001 – $250,000	H $250,001 – $500,000	I $500,001 – $1,000,000	J $1,000,001 – $5,000,000	K $5,000,001 – $25,000,000	L $25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E
SP	Mega Corp. Stock				X									X																		
DC, *Examples*	Simon & Schuster			Indefinite																Royalties				X					X			P
JT	1st Bank of Paducah, KY accounts					X										X										X						
	U.S. TREASURY ZERO COUPON BOND (STRIPPED)			X												X					[redacted]		X									

For additional assets and unearned income, use next page.

4388

SCHEDULE IV — TRANSACTIONS

Name Robert Wexler

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10–12–97		X								
JT	PANDA PROJECT STOCK		X		6-17-97	X									

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Name Robert Wexler | Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St., Dover, Del.*				X						
JT	MBNA BANK, DELAWARE	Revolving Credit Account		X								
JT	Travelers Bank + Trust, Omaha, Nebraska	Revolving Credit Account	X									
JT	Congressional Federal Credit Union, Wash, DC	Revolving Credit Account	X									
JT	First USA Bank, Delaware	Revolving Credit Account		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D C —Chicago—Wash , D C	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash , D C —Los Angeles—Cleveland	Y	Y	Y	4 Days
NONE							

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
NONE	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

98 MAY 14 PM 4:27
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

HAND DELIVERED (7)
(Office Use Only)

Robert A Weygand
(Full Name)

507 Cannon House Office Building
(Mailing Address)

Washington DC 20515
Daytime Telephone 202-225-2735

Filer Status	[X] Member of the U S House of Representatives	State RI District 02	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [X] No [ ]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III Did you, your spouse or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [X] No [ ]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [X] No [ ]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [X] No [ ]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [X] No [ ]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL R A Weygand

DATE (Month/Day/Year) 5-14-98

4393

SCHEDULE I -- EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000. For further information, see Instructions, pages 12-13.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	STATE OF RHODE ISLAND	SALARY	$2,100 00
	MIRIAM HOSPITAL	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is *not* self-directed, name the institution holding the account. **Exclude:** Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left. For further information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block.	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
SP DC JT	*Examples:* SP Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
SP	MIRIAM HOSPITAL RETIREMENT PLAN	$15,001 - $50,000	Retirement Plan	None	NA
	STATE OF RHODE ISLAND	$15,001 - $50,000	Retirement Plan	None	NA
	PROVIDENT MUTUAL INSURANCE CO	$1,001 - $15,000	Dividends	$201 - $1,000	NA
	WEYGAND ORCIUCH & CHRISTIE, INC	None	Dividends	$1,001 - $2,500	NA
JT	MERILL LYNCH, MUTUAL FUND	$1,001 - $15,000		None	P
JT	INTEL, STOCK	$1,001 - $15,000		None	P
JT	ALLIANCE CORP., MUTUAL FUND	$1,001 - $15,000	Capital Gains	$201 - $1,000	P
	LILLIAN WEYGAND TRUST	UNCERTAIN	None	None	NA

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
JT	MERRILL LYNCH, MUTUAL FUND	Purchase	10-28-97	$1,001 - $15,000
JT	INTEL, STOCK	Purchase	10-28-97	$1,001 - $15,000
JT	ALLIANCE CORP , MUTUAL FUNDS	Purchase	10-28-97	$1,001 - $15,000

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child Mark the highest amount owed during the year
Exclude: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000 For further information, see instructions, pages 21-22

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St , Dover, Del	$100,001 - $250,000
	R I HIGHER ED ASST AUTHORITY	STUDENT LOAN - URI	$10,001 - $15,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see Instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Amer. Inst. of Architects of Oklahoma	April 7-8	Prov., R.I.-Oklahoma City, OK-Wash DC	Y	Y	N	No
Project Interchange-Israel	August 15-24	Boston, MA-Paris, France-Tel Aviv, Israel-New York, NY	Y	Y	Y	4 Days

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
DIRECTOR	MEETING STREET CENTER
TRUSTEE	UNITED WAY OF SOUTHEASTERN NEW ENGLAND
ADVISORY BOARD	BIG BROTHERS OF RHODE ISLAND
PRESIDENT	WEYGAND ORCIUCH AND CHRISTIE, INC. (architectural firm)

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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

Richard Alan White
(Full Name)
5254 Eagle Harbor Dr.
(Mailing Address)
Bainbridge Island, WA 98110
Daytime Telephone 202/225-6311

Filer Status	☑ Member of the U.S. House of Representatives — State / District	☐ Officer or Employee — Employing Office	**A *$200 penalty* shall be assessed against anyone who files more than 30 days late.**
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Richard A. White

DATE (Month/Day/Year): 5/15/98

4400

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
	XYZ Magazine	Article	Aug. 13, 1997	$500

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Name Richard White | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify For Example: Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E
SP	Mega Corp. Stock					X								X																		P
DC	Examples: Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah KY accounts						X									X									X							
	Perkins Building Partner					X											X															
	Retirement Acct/Vanguard	X																			X											
	WindSor II					X															X											
	Trustees Int'l				X																X											
	Prime Cap				X																X											
	Long Term Corporate				X																X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Richard White

SP. DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E

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4404

SCHEDULE IV — TRANSACTIONS

Name Richard White

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10–12–97		X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Richard White | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	A I E F	Jan 12-19	DC - Israel - DC	Y	Y	N	N
	S I A	Mar 16-17	DC - NYC - DC	Y	Y	N	N
	Wash Public Utility Dist.	Mar 24	DC - Wenatachee, WA	N	N	N	N
	Bi - Pac	May 23	DC - SF - SEA	Y	Y	N	N
	New York Stock Exchange	June 22-23	DC - NYC - DC	Y	Y	N	N
	Progress + Freedom Foundat.	Aug 17-19	SEA - Co - SEA	Y	Y	N	N
	Nat. Assoc. of Indep Insurers	Sept. 18-19	SEA - Phoenix - SEA	Y	Y	N	N
	Tech Net	Oct 1-2	SEA - San Jose - DC	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Director	Books for kids

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

98 MAY 15 PM 3:03

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

W. Edward Whitfield
(Full Name)

236 Cannon House Office Building
(Mailing Address)

Washington, D.C. 20515

202-225-3115
Daytime Telephone

HAND DELIVERED (8)
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives — State KY District 01	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: Edward Whitfield

DATE (Month/Day/Year): 5/14/98

4409

Name Ed Whitfield

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Mega Corp Stock					X								X										X								P
DC	Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
	AT&T Corp.					X								X										X								
	American Int'l Group				X									X								X										
	Boise Cascade			X										X									X									
	Chase Manhatten				X									X								X										P
	Chevron						X							X											X							
	Coca-Cola				X									X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ed Whitfield

SP. DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
	Consolidated Natural Gas				X									X									X									
	Eskimo Pie			X										X								X										
	Exxon					X								X											X							
	Fidelity Investments					X								X			X							X								
	General Electric			X										X									X									
	GTE				X									X										X								
	Hewlett-Packard		X											X									X									
	Intel				X									X									X									
	Johnson & Johnson			X										X									X									
	Lubrizol Corp.			X										X									X									
	Lucent Technologies				X									X											X							
	May Department Stores						X							X											X							
	Motorola			X										X									X									
	Norwest				X									X								X										P
	Payless Shoes				X									X									X									
	Pfizer, Inc.				X									X									X									
	Cohen & Steers Realty				X									X			X							X								
	Mutual Discovery Fund				X									X			X						X									
	Oakmark International			X										X			X							X								
	Heitman Real Estate				X									X			X							X								
	Schwab Value Advantage					X										X								X								
	---Money Market																															

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ed Whitfield

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	CSX Corp. Debentures				X											X							X									
	CSX Thrift						X							X		X								X								
	Charles Schwab Money Market					X										X								X								
	Charles Schwab IRA (A)					X								X		X							X									
	Charles Schwab IRA (B)				X									X		X							X									
	Northwestern Mutual Annuity (A)			X										X		X							X									
	Northwestern Mutual Annuity (B)			X										X		X							X									
	Coastline Federal IRA			X												X							X									
	U.S. Government Thrift				X									X		X							X									
	Vanguard Money Market					X										X							X									
	Vanguard Index 500						X																									
	Vanguard Value Index					X																										P
	Vanguard Tax Managed Fund				X																											P
	Zerox Corp.			X										X									X									
	C&K Drilling Partnership			X												X								X								
SP	Condominium - Vista Del Lido Drive, Newport Beach, California						X								X											X						
SP	Commercial Property - Chemical Lane, Huntington Beach, California						X								X											X						

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4412

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ed Whitfield

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1 000	C $1 001 - $15 000	D $15 001 - $50 000	E $50 001 - $100 000	F $100 001 - $250 000	G $250 001 - $500 000	H $500 001 - $1 000 000	I $1 000 001 - $5 000 000	J $5 000 001 - $25 000 000	K $25 000 001 - $50 000 000	L Over $50 000 000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1 000	IV $1 001 - $2 500	V $2 501 - $5 000	VI $5 001 - $15 000	VII $15 001 - $50 000	VIII $50 001 - $100 000	IX $100 001 - $1 000 000	X $1 000 001 - $5 000 000	XI Over $5 000 000	P S E
	Vacant Lot - High Street Hopkinsville, Kentucky			X																											
	Vacant Lot Madisonville, Kentucky			X																											
SP	Vacant Lots - Chinoe Canyon Road, Palm Springs, CA				X																										
	Congressional Credit Union			X												X						X									
	George Mason Bank			X												X						X									

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SCHEDULE IV — TRANSACTIONS

Name Ed Whitfield

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Pimco Low Duration Fund		X		2-10-97	X									
	20th Century International Growth		X		4-17-97		X								
	Berger Growth and Income		X		4-17-97	X									
	Montgomery Global		X		4-17-97	X									
	AMP Inc.		X		5-15-97	X									
	Burlington Northern		X		5-15-97	X									
	Gabelli Asset		X		5-15-97		X								
	Strong Opportunity		X		5-15-97	X									
	Sysco Corp		X		5-15-97	X									
	Gleason Corp.		X		5-23-97	X									
	Montgomery Emerging Market		X		5-30-97			X							
	Tech Sym Corp.		X		7-11-97	X									
	Health Management System		X		12-29-97	X									
	Vanguard Index 500	X			4-18-97				X						
	Vanguard Value Index	X			5-15-97			X							
	Vanguard Tax Managed Fund	X			6-19-97		X								

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SCHEDULE IV — TRANSACTIONS

Name Ed Whitfield

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Norwest	X			2-6-97		X								
	Chase Manhatten	X			1-12-97	X									

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4415

Name Ed Whitfield | Page 8 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
The Tobacco Institute	Feb. 13-16	Wash., DC-Phoenix, AZ-Wash., DC	Y	Y	Y	N
Phillip Morris	April 2	Clarksville, TN-Richmond, VA-Clarksville, TN	N	N	N	N

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ED WHITFIELD
1ST DISTRICT, KENTUCKY

WASHINGTON OFFICE
236 CANNON HOUSE OFFICE BUILDING
WASHINGTON, D.C. 20515-1701
(202) 225-3115
FAX (202) 225-3547

INSIDE MAIL

COMMITTEE ON COMMERCE
SUBCOMMITTEES
HEALTH AND ENVIRONMENT
ENERGY AND POWER

Congress of the United States
House of Representatives
Washington, DC 20515-1701

June 4, 1998

RECEIVED
98 JUN -5 AM 11:56
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC

The Honorable Robin Carle
Clerk of The House
Office of Records
and Registration
B-106 Cannon House Office Building
Washington, DC 20515-6612

Dear Madam Clerk:

I do hereby submit this letter as an amendment to my 1997 Financial Disclosure Statement which was filed with the Office of Records and Registration on May 15, 1998. I wish to amend Schedule VIII, submitting the enclosed pages as substitutions to the originals.

If you have any further questions, please do not hesitate to let me know.

Sincerely,

Ed Whitfield
Member of Congress

EW:fc

DISTRICT OFFICES

FIRST FLOOR
317 WEST NINTH STREET
HOPKINSVILLE, KY 42240
(502) 885-8079
(800) 328-5629
FAX (502) 885-8598

P.O. BOX 717
MONROE COUNTY COURTHOUSE
TOMPKINSVILLE, KY 42167
(502) 487-9509
FAX (502) 487-0019

ROOM 307
222 FIRST STREET
HENDERSON, KY 42420
(502) 826-4180
FAX (502) 826-6783

ROOM 104
100 FOUNTAIN AVENUE
PADUCAH, KY 42001
(502) 442-6901
FAX (502) 442-6805

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ed Whitfield

SP DC H	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other (Type of Income) (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transactio
	CSX Corp. Debentures				X											X							X									P
	CSX Thrift						X							X		X								X								S
	Charles Schwab Money Market					X										X								X								E
	Charles Schwab IRA (A)					X								X		X							X									
	Charles Schwab IRA (B)				X									X		X							X									
	Northwestern Mutual Annuity (A)			X										X		X						X										
	Northwestern Mutual Annuity (B)			X										X		X						X										
	Coastline Federal IRA			X												X						X										
	U.S. Government Thrift				X									X		X							X									
	Vanguard Money Market					X										X							X									
	Vanguard Index 500						X							X									X									P
	Vanguard Value Index					X								X									X									P
	Vanguard Tax Managed Fund				X									X									X									P
	Xerox Corp.			X										X								X										
	C&K Drilling Partnership			X												X							X									
SP	Condominium - Vista Del Lido Drive, Newport Beach, California						X								X										X							
SP	Commercial Property - Chemical Lane, Huntington Beach, California						X								X										X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ed Whitfield

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK I Transaction P, S, E
SP	Vacant Lot - High Street Hopkinsville, Kentucky			X																												
	Vacant Lot Madisonville, Kentucky			X																												
	Vacant Lots - Chinoe Canyon Road, Palm Springs, CA				X																											
	Congressional Credit Union			X												X						X										
	George Mason Bank			X												X						X										
	20th Century Intl Growth	X															X								X							
	Berger Growth & Income	X															X							X								
	Montgomery Global	X															X								X							
	Burlington Northern	X															X							X								
	Gabelli Asset	X															X								X							
	Strong Opportunity	X															X								X							
	Sysco Corp.	X															X								X							
	Gleason Corp.	X															X								X							
	Montgomery Emerging Market	X															X									X						

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 15 PM 1:23

MC

(5)

(Office Use Only)

Roger F. Wicker
(Full Name)

206 Cannon Building, Washington, DC 20515
(Mailing Address)

202-225-4306
Daytime Telephone

Filer Status	[X] Member of the U S House of Representatives	State MS District 01	[ ] Officer or Employee — Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U S C app 4, §104 and 18 U S C §1001)

SIGNATURE OF REPORTING INDIVIDUAL Roger Wicker

DATE (Month/Day/Year) May 14, 1998

4420

Name Roger F. Wicker | Page 1 of 1

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Block A	Block B: None	A: $1 – $1,000	B: $1,001 – $15,000	C: $15,001 – $50,000	E: $50,001 – $100,000	F: $100,001 – $250,000	G: $250,001 – $500,000	H: $500,001 – $1,000,000	I: $1,000,001 – $5,000,000	J: $5,000,001 – $25,000,000	K: $25,000,001 – $50,000,000	L: Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	I: $1 – $200	II: $201 – $1,000	III: $1,001 – $2,500	IV: $2,501 – $5,000	V: $5,001 – $15,000	VI: $15,001 – $50,000	VII: $50,001 – $100,000	VIII: $100,001 – $1,000,000	IX: $1,000,001 – $5,000,000	X: Over $5,000,000	XI	Block E: P, S, E
SP, DC, JT	*Examples* SP Mega Corp. Stock					X								X										X									P
	Simon & Schuster			Indefinite																Royalties									X				
	1st Bank of Paducah, KY accounts						X									X										X							
	602 Jefferson, Tupelo, MS					X									X								X										
	Mobile Telecom Stock		X											X							X												
SP	Long Enterprises Stock				X													X			X												
SP	Peoples Bank Stock			X										X							X												
	511 Bashford La, Alex, VA						X																X										

For additional assets and unearned income, use next page.

Name Roger F. Wicker | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	Deposit Guaranty National Bank Tupelo, MS	Mortgage 602 Jefferson, Tupelo		X								
	Nations Bank, NA	Mortgage 511 Bashford Alexandria, VA				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Roger F. Wicker | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	MISSISSIPPI POULTRY ASSOCIATION	SEPT. 12-15	WASH, DC-SANDESTIN, FLA.-WASH, D.C.	Y	Y	Y	N
	MISSISSIPPI LIFE UNDERWRITERS ASSN.	JUNE 6-7	WASH, D.C.-BILOXI, MISS.	Y	Y	Y	N

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Name	Page 1 of 1
Roger F. Wicker	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Long Enterprises	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
96 MAY 12 PM 4:59

Robert Ellsworth Wise, Jr.
(Full Name)
2367 Rayburn House Office Bldg (202) 225-2711
(Mailing Address) Daytime Telephone
Washington, DC 20515

HAND DELIVERED
(Office Use Only)

7

Filer Status	[X] Member of the U.S. House of Representatives	State District WV 2nd	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL: Robert E. Wise

DATE (Month/Day/Year): 5/10/96

4425

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. House of Representatives	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income. For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction. Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP.	Mega Corp Stock					X								X																		
DC.	Examples: Simion & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah KY accounts						X									X									X							
JT	Pioneer Group (aggregate IRAs)					X											NA								NA							
SP	Delaware Fund			X										X			X						X									
JT	Wright Patman Credit Union (aggregate)				X											X							X									

For additional assets and unearned income, use next page.

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6-13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
	German Marshall Fund of the U.S.	Mar 22-28	D.C.-Berlin/Frankfurt, Ger-D.C.	Y	Y	N	N

This page may be copied if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Ex Officio (unpaid)	National Institute of Chemical Studies
Ex Officio (unpaid)	RCAC, Inc.
Director (unpaid)	US - Japan Friendship Commission

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NA	

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

Form **1040** Department of the Treasury - Internal Revenue Service
U.S. Individual Income Tax Return **1997**
(99) IRS Use Only - Do not write or staple in this space

For the year Jan. 1-Dec. 31, 1997, or other tax year beginning, 1997, ending, 19 OMB No. 1545-0074

Label (See instructions.) LABEL HERE

Use the IRS label. Otherwise, please print or type.

Your first name and initial	Last name	Your social security number
ROBERT E.	WISE, JR.	233-78-6863
If a joint return, spouse's first name and initial	Last name	Spouse's social security number
SANDRA C.	WISE	474-50-2621
Home address (number and street). If you have a P.O. box, see instructions.	Apt. no.	
101 GABE ROAD		
City, town or post office, state, and ZIP code. If you have a foreign address, see instructions.		
CLENDENIN, WV 25045		

For help in finding line instructions, see the booklet.

Presidential Election Campaign (See instructions.)

	Yes	No
Do you want $3 to go to this fund?	X	
If a joint return, does your spouse want $3 to go to this fund?	X	

Note: Checking "Yes" will not change your tax or reduce your refund.

Filing Status — Check only one box.

1 [ ] Single
2 [X] Married filing joint return (even if only one had income)
3 [ ] Married filing separate return. Enter spouse's social security no. above and full name here ▶
4 [ ] Head of household (with qualifying person). (See instructions.) If the qualifying person is a child but not your dependent, enter this child's name here. ▶
5 [ ] Qualifying widow(er) with dependent child (year spouse died ▶ 19) (See instructions.)

Exemptions

6a [X] **Yourself.** If your parent (or someone else) can claim you as a dependent on his or her tax return, do not check box 6a
b [X] Spouse

No. of boxes checked on 6a and 6b: 2

c **Dependents:**

(1) First name Last name	(2) Dependent's social security number	(3) Dependent's relationship to you	(4) No. of mos. lived in your home in 1997
ROBERT W. WISE	236-33-9411	CHILD	12
ALEXANDRA S. WISE	579-17-4278	CHILD	12

If more than six dependents, see the instructions.

No. of your children on 6c who
● lived with you: 2
● did not live with you due to divorce or separation (see instructions):
Dependents on 6c not entered above:
Add numbers entered on lines above ▶ 4

d Total number of exemptions claimed

Income

Attach Copy B of your Forms W-2, W-2G, and 1099-R here.

If you did not get a W-2, see the instructions.

Enclose, but do not attach, any payment. Also, please use Form 1040-V.

7	Wages, salaries, tips, etc. Attach Form(s) W-2	7	226,223.
8a	Taxable interest. Attach Schedule B if required	8a	507.
b	Tax-exempt interest. DO NOT include on line 8a. 8b		
9	Dividends. Attach Schedule B if required	9	1,241.
10	Taxable refunds, credits, or offsets of state and local income taxes (see instructions)	10	4,407.
11	Alimony received	11	
12	Business income or (loss). Attach Schedule C or C-EZ	12	
13	Capital gain or (loss). Attach Schedule D	13	-418.
14	Other gains or (losses). Attach Form 4797	14	
15a	Total IRA distributions. 15a b Taxable amount (see instructions)	15b	
16a	Total pensions and annuities. 16a b Taxable amount (see instructions)	16b	
17	Rental real estate, royalties, partnerships, S corporations, trusts, etc. Attach Schedule E	17	
18	Farm income or (loss). Attach Schedule F	18	
19	Unemployment compensation	19	
20a	Social security benefits. 20a b Taxable amount (see instructions)	20b	
21	Other income. List type and amount - see instructions	21	
22	Add the amounts in the far right column for lines 7 through 21. This is your **total income** ▶	22	232,796.

Adjusted Gross Income

If line 32 is under $29,290 (under $9,770 if a child did not live with you), see the instructions.

23	IRA deduction (see instructions)	23	
24	Medical savings account deduction. Attach Form 8853	24	
25	Moving expenses. Attach Form 3903 or 3903-F	25	
26	One-half of self-employment tax. Attach Schedule SE	26	
27	Self-employed health insurance deduction (see instructions)	27	
28	Keogh and self-employed SEP and SIMPLE plans	28	
29	Penalty on early withdrawal of savings	29	
30a	Alimony paid b Recipient's SSN ▶	30a	
31	Add lines 23 through 30a	31	NONE
32	Subtract line 31 from line 22. This is your **adjusted gross income** ▶	32	232,796.

For Privacy Act and Paperwork Reduction Act Notice, See Instructions. Form **1040** (1997)

LXS 10/22/97

Form 1040 (1997) ROBERT E. WISE, JR. & SANDRA C. WISE 233-78-6863 Page 2

Tax Computation	33	Amount from line 32 (adjusted gross income)		33	232,796.
	34a	Check if: ☐ You were 65 or older, ☐ Blind; ☐ Spouse was 65 or older, ☐ Blind. Add the number of boxes checked above and enter the total here ▶ 34a			
	b	If you are married filing separately and your spouse itemizes deductions or you were a dual-status alien, see instructions and check here ▶ 34b ☐			
	35	Enter the larger of your: Itemized deductions from Schedule A, line 28, OR Standard deduction shown below for your filing status. But see the instructions if you checked any box on line 34a or 34b or someone can claim you as a dependent. • Single - $4,150 • Married filing jointly or Qualifying widow(er) - $6,900 • Head of household - $6,050 • Married filing separately - $3,450		35	55,192.
	36	Subtract line 35 from line 33		36	177,604.
If you want the IRS to figure your tax, see the instructions.	37	If line 33 is $90,900 or less, multiply $2,650 by the total number of exemptions claimed on line 6d. If line 33 is over $90,900, see the worksheet in the instructions for the amount to enter		37	6,148.
	38	**Taxable income.** Subtract line 37 from line 36. If line 37 is more than line 36, enter -0-		38	171,456.
	39	Tax. See instructions. Check if any tax from: a ☐ Form(s) 8814 b ☐ Form 4972 ▶		39	45,741.
Credits	40	Credit for child and dependent care expenses. Attach Form 2441	40 960.		
	41	Credit for the elderly or the disabled. Attach Schedule R	41		
	42	Adoption credit. Attach Form 8839	42		
	43	Foreign tax credit. Attach Form 1116	43		
	44	Other. Check if from: a ☐ Form 3800 b ☐ Form 8396 c ☐ Form 8801 d ☐ Form (specify)	44		
	45	Add lines 40 through 44		45	960.
	46	Subtract line 45 from line 39. If line 45 is more than line 39, enter -0- ▶		46	44,781.
Other Taxes	47	Self-employment tax. Attach Schedule SE		47	
	48	Alternative minimum tax. Attach Form 6251		48	
	49	Social security and Medicare tax on tip income not reported to employer. Attach Form 4137		49	
	50	Tax on qualified retirement plans (including IRAs) and MSAs. Attach Form 5329 if required		50	
	51	Advance earned income credit payments from Form(s) W-2		51	
	52	Household employment taxes. Attach Schedule H		52	424.
	53	Add lines 46 through 52. This is your total tax ▶		53	45,205.
Payments	54	Federal income tax withheld from Forms W-2 and 1099	54 48,396.		
	55	1997 estimated tax payments and amount applied from 1996 return	55		
	56a	**Earned income credit.** Attach Schedule EIC if you have a qualifying child. b Nontaxable earned income: amt ▶ and type ▶ NO	56a		
Attach Forms W-2, W-2G, and 1099-R on page 1	57	Amount paid with Form 4868 (request for extension)	57		
	58	Excess social security and RRTA tax withheld (see instructions)	58		
	59	Other payments. Check if from: a ☐ Form 2439 b ☐ Form 4136	59		
	60	Add lines 54, 55, 56a, 57, 58, and 59. These are your **total payments** ▶		60	48,396.
Refund	61	If line 60 is more than line 53, subtract line 53 from line 60. This is the amount you **OVERPAID**		61	3,191.
Have it directly deposited! See instr. and fill in 62b, 62c, and 62d.	62a	Amount of line 61 you want **REFUNDED TO YOU** ▶		62a	3,191.
	▶ b	Routing number ▶ c Type: ☐ Checking ☐ Savings			
	▶ d	Account number			
	63	Amount of line 61 you want **APPLIED TO YOUR 1998 ESTIMATED TAX** ▶	63		
Amount You Owe	64	If line 53 is more than line 60, subtract line 60 from line 53. This is the **AMOUNT YOU OWE.** For details on how to pay, see instructions ▶		64	
	65	Estimated tax penalty. Also include on line 64	65 NONE		

Sign Here Keep a copy of this return for your records

Under penalties of perjury, I declare that I have examined this return and accompanying schedules and statements, and to the best of my knowledge and belief, they are true, correct, and complete. Declaration of preparer (other than taxpayer) is based on all information of which preparer has any knowledge.

Your signature	Date	Your occupation
Robert E. Wise	5/10/98	CONGRESSMAN
Spouse's signature. If a joint return, BOTH must sign	**Date**	**Spouse's occupation**
Sandra Cracken Wise	5/12/98	ATTORNEY

Paid Preparer's Use Only

Preparer's signature	Date	Check if self-employed	Preparer's social security no.
	5-1-98	☒	205-34-9306
Firm's name (or yours if self-employed) and address	TERESA P. CHEGWIDDEN, CPA 1100 LAIDLEY TOWER CHARLESTON, WV	EIN	55-0633379
		ZIP code	25301

F 10/22/97

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

98 MAY 13 PM 2:19

HAND DELIVERED

(Office Use Only)

Frank R. Wolf
(Full Name)

241 Cannon House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone 202-225-5136

Filer Status					
	X	Member of the U.S. House of Representatives	State VA District 10	☐ Officer or Employee	Employing Office
Report Type	X	Annual (May 15)	☐ Amendment	☐ Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No X	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No X
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No X	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes X No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes X No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes X No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes X No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No X
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No X	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS - Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11.)	Yes ☐	No X
EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11.)	Yes ☐	No X

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001)

SIGNATURE OF REPORTING INDIVIDUAL: Frank R. Wolf

DATE (Month/Day/Year): 5-12-98

Name Frank R. Wolf

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by you or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A	Block B	Block C	Block D	Block E
	A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP / DC / JT — *Examples*				
SP — Mega Corp. Stock	Indefinite	DIVIDENDS: X		P
DC — Simon & Schuster	X		VI: X	
JT — 1st Bank of Paducah, KY accounts		INTEREST: X		
Royalties			IV: X; IX: X	
Franklin Income Fund - asset belonging to a child no longer dependent				
Franklin Virginia Tax-Free Income Fund	B: X	DIVIDENDS: X; INTEREST: X	III: X	
Manufacturers Life Ins. Co. of No. America Manufac. Investment Trust (formerly No. American Security Life Ins. Co. NASL Series Trust Fund) - KEOGH (not self-directed)	F: X		V: N/A	
Manufacturers Life Ins. Co. of No. America Manufac. Investment Trust (formerly No. American Security Life Ins. Co. NASL Series Trust Fund) Non-participating retirement plan	C: X		V: N/A	P

For additional assets and unearned income, use next page

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Frank R. Wolf

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Oppenheimer Capital Appreciation Fund A (not self-directed IRA)					X																	N/A								
	U.S. Savings Bond			X												X							Unknown								

This page may be copied if more space is required.

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	Manufacturers Life Ins. Co. of No. America Manufacturers Investment Trust-retirement plan	Purchase	monthly	$1,001 - $15,000

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), travel paid for by a Federal political committee, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you. For further information, see instructions, pages 24-26.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
International Foundation - National Prayer Breakfast meetings and conference speaker and participant	Oct 9 - 13	Wash., D.C. - Bled, Slovenia - Wash., D.C.	Y	Y	Y	No
International Foundation - speaker at Parliamentary Christian Fellowship Dinner; series of meetings with Member of Parliament	June 26-July 3	Wash., D.C. - London, England - Wash., D.C.	N	N	Y	4 days

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. For further information, see Instructions, page 26.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Organization
Co-chair (uncompensated)	Congressional Hunger Center (non-profit organization)
Member, International Council of Reference (uncompensated)	Stephen's Children (non-profit organization)
Member, Board of Advisors (uncompensated)	International Justice Mission (non-profit organization)
Member, Congressional Committee (uncompensated)	George C. Marshall International Center (non-profit organization)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

Form A
For use by Members, officers, and employees

RECEIVED
LEGISLATIVE RESOURCE CENTER
98 MAY 14 PM 2:51
OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES
INSIDE MAIL
(Office Use Only)

4

Lynn C Woolsey
(Full Name)

923 B Street
(Mailing Address)

Daytime Telephone
(202) 225-5161

Petaluma CA 94952

Filer Status	[X] Member of the U S House of Representatives	State CA District 06	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e g , salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes [ ] No [X]

II Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes [ ] No [X]

III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes [X] No [ ]

IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** Yes [X] No [ ]

V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes [ ] No [X]

VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i e , aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes [ ] No [X]

VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.** Yes [ ] No [X]

VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes [ ] No [X]

IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? (See Instructions, pages 10-11) Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? (See Instructions, page 11) Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U S C app 4, 104 and 18 U S C 1001)

SIGNATURE OF REPORTING INDIVIDUAL: Lynn C Woolsey

DATE (Month/Day/Year): 5/14/98

4438

Name Lynn C. Woolsey | Page ___ of ___

HEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source** ntify (a) each asset held for investment or luction of income with a fair market value eeding $1,000 at the end of the reporting year, (b) any other asset or source of income which erated more than $200 in "unearned" income ng the year. For rental property or land, provide address. Provide full names of any mutual is. For an IRA or retirement plan that is *self-cted*, list the underlying assets worth more than 00. For an IRA or retirement plan that is *not* directed, name the institution holding the unt **lude:** Your personal residence(s) (unless there is al income), any debt owed to you by your use, or by your or your spouse's child, parent, bling, any deposits totalling $5,000 or less in onal savings accounts, any financial interests in come derived from U.S. Government retirement rams u so choose, you may indicate that an asset or me source is that of your spouse (SP) or ndent child (DC) or is jointly held (JT), in the nal column on the far left rther information, see Instructions, pages 14-20	BLOCK B **Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used If an asset was sold and is included only because it generated income, the value should be "None"	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block	BLOCK D **Amount of Income** For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income	BLOCK E **Transaction** Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year
Examples SP Mega Corp. Stock 123 Main St., Dover, Del 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
AIRTOUCH	$1,001 - $15,000	Dividends	$1 - $200	
NATURAL RESOURCES DEV SECURITIES (IRA)	$1,001 - $15,000	N/A	$1 - $200	
SBC COMMUNICATION, INC (IRA)	$1,001 - $15,000	N/A	$1 - $200	
Merrill Lynch Fund Class B (IRA)	$1,001 - $15,000	N/A	None	
MERRILL LYNCH FUND CLASS D (IRA)	$1,001 - $15,000	N/A	None	
PUTNAM OTC EMERGING GROWTH FUND (IRA)	$1,001 - $15,000	N/A	None	

Name Lynn C Woolsey | Page ____ of ____

HEDULE III -- ASSETS AND "UNEARNED" INCOME

US TREASURY STRIPS ZERO 90 (IRA) 11/15/2003	$1,001 - $15,000	N/A	None	
US TREASURY STRIPS 90 (IRA) 11/15/2006	$1,001 - $15,000	N/A	None	
NORDSTROM, INC. (IRA)	$1,001 - $15,000	N/A	$201 - $1,000	
CITIZEN'S TRUST (IRA)	$1,001 - $15,000	N/A	None	
COLONIAL TRUST III GROWTH SHARES FUND (IRA)	$15,001 - $50,000	N/A	None	
COLONIAL SELECT VALUE FUND	None	N/A	None	

Name Lynn C. Woolsey | Page ___ of ___

:HEDULE IV -- TRANSACTIONS

ort any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities n the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child or the chase or sale of your personal residence, unless it is rented out. For further information, see Instructions, pages 20-21.

DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/94	$15,001 - $50,000
	COLONIAL SELECT VALUE FUND	Purchase	12-22-97	$1,001 - $15,000

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 15 PM 4:49

Albert Russell Wynn
(Full Name)

3701 Bethwood Court, Upper Marlboro, MD 20772
(Mailing Address)

(202) 225-8699
Daytime Telephone

MC

HAND DELIVERED
(Office Use Only)

4

Filer Status	[X] Member of the U.S. House of Representatives — State MD District 04	[ ] Officer or Employee — Employing Office	**A *$200 penalty* shall be assessed against anyone who files more than 30 days late.**
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL Albert R. Wynn

DATE (Month/Day/Year) 05/15/98

4442

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples*																															
SP	Mega Corp Stock					X								X										X								P
DC	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	1213 T Street, NW Washington, D.C.						X								X								X									E
	7745 Gremont Street Hyattsville, MD					X									X								X									
	307 Todd Place Washington, D.C.						X								X								X									E
	MFS Emerging Growth Mutual Fund		X													X							X									P
	526 H.S. Truman Drive Largo, MD						X								X								X									E

For additional assets and unearned income, use next page.

Name Albert Russell Wynn

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10–12–97		X								
	1213 T Street, NW Washington, D.C.			X	08/15/86				X						
	MFS Emerging Growth Mutual Fund	X			03/25/96	X									
	307 Todd Place Washington, D.C.			X	08/20/96				X						

This page may be copied if more space is required.

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	GMAC Mortgage Company	Mortgage 1213 T St., NW Washington, D.C.				x						
	GMAC Mortgage Company	Mortgage 7745 Gremont Hyattsville, MD			x							
	Margaret Lucas 425 L Street, NW, Washington, D.C.	Mortgage 301 Todd Place Washington, D.C.				x						
	Long Island Savings Bank Newark, NJ	Mortgage 3701 Bethwood Upper Marlboro, MD				x						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr Joseph H Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 13 PM 2:48

Sidney R. Yates
(Full Name)

2109 Rayburn House Office Building
(Mailing Address)

Washington, DC 20515

(202) 225-2111
Daytime Telephone

M(1) HAND DELIVERED (61)
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives — State IL District 9th	[ ] Officer or Employee — Employing Office	A *$200 penalty* shall be assessed against anyone who files more than 30 days late.
Report Type	[ ] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

Sidney R. Yates — SIGNATURE OF REPORTING INDIVIDUAL

5/12/98 — DATE (Month/Day/Year)

4446

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	None		

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1997	$2,000
XYZ Magazine	Article	Aug. 13, 1997	$500
None			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Block A	Block B: None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	Block E
SP, DC, JT	*Examples* SP Mega Corp. Stock						X							X										X								P
	Simon & Schuster			Indefinite																Royalties								X			
	1st Bank of Paducah, KY accounts							X								X									X						
	Bank Accounts						X									X															
SP	Bank Accounts						X									X															
	Microsoft						X							X							X										
	Various Partnerships - See Attached																														
SP	Various Partnerships - See Attached																														

For additional assets and unearned income, use next page.

SIDNEY & ADELINE YATES 356-03-6661

SCHEDULE E INCOME OR (LOSS) FROM PARTNERSHIPS AND S CORPS STATEMENT 20

NAME

EMPLOYER ID NO.	NOT AT RISK	CODE	PASSIVE LOSS	PASSIVE INCOME	NONPASSIVE LOSS	SEC. 179 DEDUCTION	ESTIMATED VALUE
DIXIE ASSOCIATES							
61-1153620		P		77,486.			465,000
P-B WATSON & TAYLOR LTD. 1							
75-1861221		P *			86.		DISPOSED
SP PHOSPHATE RESOURCE PARTNERS LIMITED PARTNERSHIP							
72-1067072		T *			3,314.		DISPOSED
SP ESSEX LANE ASSOCIATES LTD PRTSHP							
04-3191682		P		3,657.			100,000
SP MICHIGAN ADAMS BUILDING LIMITED PTSHP NO. 3							
36-3885394		P		3,162.			100,000
ONE TECHNOLOGY DRIVE LIMITED PARTNERSHIP							
04-3297363		P		5,910.			100,000
SP ONE TECHNOLOGY DRIVE LIMITED PARTNERSHIP							
04-3297363		P		5,910.			100,000
SP FSP NORTH ANDOVER OFFICE PARK LP							
04-3318346		P		5,824.			100,000
FSP NORTH ANDOVER OFFICE PARK LP							
04-3318346		P		2,912.			50,000
FSP PARK SENECA							
04-3368606		P	584.				50,000
SP FSP WESLAYAN OAKS, LP							
04-3359796		P	190.				50,000
SP FSP SANTA CLARA LIMITED PARTNERSHIP							
04-3396284		P		5.			100,000
TOTALS TO SCH. E, LN. 28			774.	104,866.	3,400.		

* ENTIRE DISPOSITION OF PASSIVE ACTIVITY

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sidney R. Yates

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST*	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P. S. E
JT	Paine Webber Broker Account - See Attached																													
	See Draft Copy of Form 1040 Schedule B for Interest and Dividend Income																													

This page may be copied if more space is required.

December 1997

Net account value on November 28	$	56.27 *
Net account value on December 31	$	56.54 *
Money funds in 12/31 value	$	56.54

* Excludes unpriced assets See back for details

PAINEWEBBER INC.
265 FRANKLIN STREET
BOSTON, MA 02110-3196

NZEL056200-X26 - 1297 - PW - 0

PaineWebber
Investment Account

Account Number PW 19230 YA

NZEL056200-X26
2316977 - 0000045

Your Investment Executive
BOSTON HOUSE ACCOUNT 617 439-8000

SIDNEY R YATES &
ADELINE H YATES TEN IN COMMON
4201 CATHEDRAL AVE NW
APARTMENT 1005
WASHINGTON DC 20016-4901

Earnings and capital return summary

Earnings below are classified as taxable or non-taxable based on the tax status for the specific security on which the earnings are received and does not attempt to reflect your account's specific tax status or reporting requirements. Use only official tax reporting documents (e.g. 1099) for tax reporting purposes. The classification of Direct/Private Investment distributions can only be determined by referring to the official year-end tax reporting document provided by the issuer

		Current period		Year-to-date
Taxable				
PaineWebber Money fund dividends	$	.27	$	147.73
Total taxable earnings/capital return	$	.27	$	147.73

Asset summary

See reverse side for information on assets excluded from this summary

	% of portfolio		Value
Money funds	100.00		56.54
Net account value		$	56.54

Investment objectives

Investment objectives describe the general goals you have for your investments within an account. We understand that the investment objective(s) for this account are the following, in order of priority

1. Income 2. Investment grade 3. Growth 4

If you have any questions concerning these investment objectives, or wish to change the investment objectives for this account, call your Investment Executive or Branch Manager for your branch office

Account Instructions
Statement copies are sent to 1 interested party

Bulletin Board
AS 1998 BEGINS, WE WANT TO THANK YOU FOR YOUR VALUED RELATIONSHIP AND REAFFIRM OUR COMMITMENT TO PROVIDING ADVICE AND SOLUTIONS TO HELP ACHIEVE YOUR FINANCIAL GOALS

Asset portfolio

Prices, income and current values may be approximate. Details on back

Quantity/face value	Description		Price	Current value	Est. income
56.540	CASHFUND		1.000	56.54	
	Opening balance $	56.27 Avg yield 5.17% Int period 11/25 - 12/22			
	Total			$ 56.54	

4452

Account Number PW 19230 YA
Your Investment Executive
BOSTON HOUSE ACCOUNT
617 439-8000

PaineWebber
Investment Account

NZEL056201-X26
2316977 - 000002

ctivity

le	Activity	Description	Quantity	Price / Value / Comment	Amount
1/28		**Balance forward**		$	.00
/24	DIVIDEND	PAINE WEBBER CASHFUND			27
/24	BOUGHT	PAINE WEBBER CASHFUND	.270	1	-.27
1/31		**Closing balance**		$	.00

Schedules A&B (Form 1040) 1997 OMB No 1545-0074 Page 2

Name(s) shown on Form 1040 Do not enter name and social security number if shown on page 1 | Your social security number

SIDNEY & ADELINE YATES | 356 03 6661

Schedule B - Interest and Dividend Income

Attachment Sequence No 08

Part I Interest Income

Note: *If you had over $400 in taxable interest income, you must also complete Part III*

			Amount
1	List name of payer. If any interest is from a seller-financed mortgage and the buyer used the property as a personal residence, see page B-1 and list this interest first. Also, show that buyer's social security number and address ▶ SEE STATEMENT 14	1	61,445.
2	Add the amounts on line 1	2	61,445.
3	Excludable interest on series EE U.S. savings bonds issued after 1989 from Form 8815, line 14. You MUST attach Form 8815 to Form 1040	3	
4	Subtract line 3 from line 2. Enter the result here and on Form 1040, line 8a ▶	4	61,445.

Note: If you received a Form 1099-INT, Form 1099-OID, or substitute statement from a brokerage firm, list the firm's name as the payer and enter the total interest shown on that form.

Part II Dividend Income

Note: *If you had over $400 in gross dividends and/or other distributions on stock, you must also complete Part III.*

			Amount
5	List name of payer. Include gross dividends and/or other distributions on stock here. Any capital gain distributions and nontaxable distributions will be deducted on lines 7 and 8 ▶ SEE STATEMENT 15	5	60,201.
	SUBTOTAL FOR LINE 5		60,201.
	TAX-EXEMPT DIVIDENDS SEE STATEMENT 17		-5,840.
6	Add the amounts on line 5	6	54,361.
7	Capital gain distributions Enter here and on Schedule D STMT 16 — 7: 31,769.		
8	Nontaxable distributions — 8:		
9	Add lines 7 and 8	9	31,769.
10	Subtract line 9 from line 6. Enter the result here and on Form 1040, line 9 ▶	10	22,592.

Note: If you received a Form 1099-DIV or substitute statement from a brokerage firm, list the firm's name as the payer and enter the total dividends shown on that form.

Part III Foreign Accounts and Trusts

You must complete this part if you (a) had over $400 of interest or dividends; (b) had a foreign account; or (c) received a distribution from, or were a grantor of, or a transferor to, a foreign trust.

		Yes	No
11a	At any time during 1997, did you have an interest in or a signature or other authority over a financial account in a foreign country, such as a bank account, securities account, or other financial account?		X
b	If "Yes," enter the name of the foreign country ▶		
12	During 1997, did you receive a distribution from, or were you the grantor of, or transferor to, a foreign trust? If "Yes," you may have to file Form 3520 or 926. See page B-2		X

LHA For Paperwork Reduction Act Notice, see Form 1040 instructions. Schedule B (Form 1040) 1997

727501 11-04-97

10170504 769633 8970-1 050 YATES, SIDNEY 8970-1_1

SIDNEY & ADELINE YATES 356-03-6661

SCHEDULE B INTEREST INCOME STATEMENT 14

NAME OF PAYER	AMOUNT
AMER. NAT'L BANK #32561504, 14041731, 32561504	2,978.
AMER. NAT'L BANK #700924	345.
AMER. NAT'L BANK #700924 - U.S. INTEREST	5,500.
AMERICAN NATIONAL BANK #14009277	47.
CONGRESSIONAL FEDERAL CREDIT UNION	1,000.
FLEET NAT'L BANK MASSACHUSETTS	400.
HARRIS BANK #6760946	1,167.
HARRIS BANK #7277676	638.
HARRIS BANK #750535	5,133.
HARRIS BANK #750536	5,133.
HARRIS BANK #760762220176 - U.S. INTEREST	18,507.
HARRIS BANK #760762221323 - U.S. INTEREST	3,282.
METROPOLITAN LIFE - #007535644C	711.
METROPOLITAN LIFE - #013352544A	909.
METROPOLITAN LIFE - #016515474A	1,052.
MICHIGAN ADAMS BUILDING L.P.	3,633.
MONY ANNUITANT'S WITHHOLDING FUND	471.
PENN MUTUAL LIFE INS. CO.	884.
STEVE YATES	5,900.
CITIZENS BANK OF MASSACHUSETTS	139.
CITIZENS BANK OF MASSACHUSETTS	304.
CITIZENS BANK OF MASSACHUSETTS	35.
U.S. TREASURY DEPT.	19.
FROM K-1 - DIXIE ASSOCIATES	2,050.
FROM K-1 - P-B WATSON & TAYLOR LTD. 1	19.
FROM K-1 - PHOSPHATE RESOURCE PARTNERS LIMITED PARTNERSHIP	18.
FROM K-1 - ESSEX LANE ASSOCIATES LTD PRTSHP	189.
FROM K-1 - MICHIGAN ADAMS BUILDING LIMITED PTSHP NO. 3	184.
FROM K-1 - ONE TECHNOLOGY DRIVE LIMITED PARTNERSHIP	109.
FROM K-1 - ONE TECHNOLOGY DRIVE LIMITED PARTNERSHIP	109.
FROM K-1 - FSP NORTH ANDOVER OFFICE PARK LP	323.
FROM K-1 - FSP NORTH ANDOVER OFFICE PARK LP	162.
FROM K-1 - FSP PARK SENECA	31.
FROM K-1 - FSP WESLAYAN OAKS, LP	64.
TOTAL TO SCHEDULE B, LINE 1	61,445.

SIDNEY & ADELINE YATES 356-03-6661

SCHEDULE B DIVIDEND INCOME STATEMENT 15

NAME OF PAYER	AMOUNT
ACORN FUND	28,697.
ACORN INTERNATIONAL	5,036.
ACORN INTERNATIONAL	1,645.
BEAR, STEARNS SECURITIES CORP.	459.
CORRESPONDENT SERVICES CORP.	254.
IBM	254.
MERRILL LYNCH	9,144.
MERRILL LYNCH	6,500.
PRUDENTIAL SECURITIES	410.
SALOMON BROTHERS FUND	174.
VANGUARD MUNI BOND FUND LIMITED-TERM PORTFOLIO	2,564.
VANGUARD MUNI BOND FUND MM PORTFOLIO	1,696.
VANGUARD MUNI BOND FUND MM PORTFOLIO	1,580.
CORRESPONDENT SERVICES CORP.	68.
PAINEWEBBER INC.	1,055.
PAINEWEBBER INC.	421.
PAINEWEBBER INC.	148.
FROM K-1 - ONE TECHNOLOGY DRIVE LIMITED PARTNERSHIP	48.
FROM K-1 - ONE TECHNOLOGY DRIVE LIMITED PARTNERSHIP	48.
TOTAL TO SCHEDULE B, LINE 5	60,201.

SCHEDULE B CAPITAL GAIN DISTRIBUTIONS STATEMENT 16

NAME OF PAYER	TOTAL CAPITAL GAIN	28% GAIN
ACORN FUND	26,109.	11,970.
ACORN INTERNATIONAL	3,456.	533.
ACORN INTERNATIONAL	1,129.	174.
MERRILL LYNCH	931.	443.
MERRILL LYNCH	1.	1.
SALOMON BROTHERS FUND	143.	143.
TOTALS TO SCHEDULE B, LINE 7	31,769.	13,264.

SIDNEY & ADELINE YATES 356-03-6661

SCHEDULE B TAX-EXEMPT INTEREST FROM 1099-DIV STATEMENT 17

NAME OF PAYER	AMOUNT
VANGUARD MUNI BOND FUND LIMITED-TERM PORTFOLIO	2,564.
VANGUARD MUNI BOND FUND MM PORTFOLIO	1,696.
VANGUARD MUNI BOND FUND MM PORTFOLIO	1,580.
TOTAL TAX-EXEMPT INTEREST FROM 1099-DIV TO SCHEDULE B, LINE 5	5,840.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sidney R. Yates

SP. DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Various Bonds, Etc., Owned at 12/31/97 - See Schedule A Attached				
	Various Bonds, Etc., Disposed of During 1997 - See Schedule B Attached				
	Various Vanguard Funds Owned at 12/31/97 - See Attached				
	Merrill Lynch - Securities Owned at 12/31/97 - See Attached				
	Prudential Broker Account - See Attached				
	Bear Stearns Broker Account - See Attached				
	Acorn International - See Attached				
	Paine Webber Broker Account - See Attached				

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Sidney Ames 197

Schedule

BOND DESCP	Par Value	LO	SETTL D	MATURE DA	COUP1	amt int	COUP 2 I	Amt	NEG mu	neg US ir
Cuyahoga Metro OH PHA	25,000.00	H	1/21/92	1 Jul, 2000	1/1/97	640.63	7/1/97	640.63		
El Paso TX Pub H Auth	40,000.00	H	12/16/91	1 Jul, 2000	1/1/97	1,000.00	7/1/97	1,000.00		
IL. Dev Fin Auth SCH Dist	10,000.00	H	5/31/94	1 Jan, 2003	1/1/97	267.50	7/1/97	267.50		
Paterson NJ PHA	25,000.00	H	5/12/93	1 Feb, 1998	2/1/97	484.38	8/1/97	484.38		
Knoxville, TN PHA	15,000.00	H	6/26/92	1 Feb, 2001	2/1/97	234.38	8/1/97	234.38		
Honolulu,HI PHA	20,000.00	AN	11/20/92	1 Aug, 2001	2/1/97	337.50	8/1/97	337.50		
*Hawaii ST PHA	10,000.00	H	4/9/96	1 Aug, 2006	2/1/97	287.50	8/1/97	287.50		
Sherman, TX PHA	15,000.00	H	6/26/92	1 Mar, 1999	3/1/97	431.25	9/1/97	431.25		
Paducah KY PHA	10,000.00	H	12/8/92	1 Mar, 2001	3/1/97	287.50	9/1/97	287.50		
Peoria Cnty IL Sch Dist	25,000.00	H	10/24/95	15 Sep, 2003	3/15/97	578.13	9/15/97	578.13		
Irving TX Bond	20,000.00	H	4/9/96	15 Sep, 2006	3/15/97	480.00	9/15/97	480.00		
West Haven CT PHA	25,000.00	H	2/16/95	1 Apr, 1999	4/1/97	468.75	10/1/97	468.75		
Cheyenne River SD PHA	30,000.00	H	12/8/92	1 Apr, 2001	4/1/97	562.50	10/1/97	562.50		
Kansas City PHA	50,000.00	H	3/27/92	1 Oct, 2001	4/1/97	1,281.75	10/1/97	1,281.75		
National Cap Wash DC PH	5,000.00	H	8/1/96	1 May, 1998	5/1/97	93.75	11/1/97	93.75		
Buffalo NY PHA	10,000.00	H	6/8/94	1 May, 1999	5/1/97	262.50	11/1/97	262.50		
Oklahoma City PHA	50,000.00	AN	4/7/93	1 May, 1999	5/1/97	1,187.50	11/1/97	1,187.50		
Wisconsin ST RFDG	25,000.00	H	4/13/94	1 May, 1999	5/1/97	575.00	11/1/97	575.00		
Dover, NH PHA	25,000.00	AN	11/30/92	1 May, 2000	5/1/97	437.50	11/1/97	437.50		
Red Cloud, NE PHA	50,000.00	H	3/4/92	1 May, 2000	5/1/97	937.50	11/1/97	937.50		
Reno. NV PHA	10,000.00	H	6/26/92	1 May, 2000	5/1/97	175.00	11/1/97	175.00		
Louisville KY PHA	50,000.00	AN	11/30/92	1 Nov, 2000	5/1/97	1,281.25	11/1/97	1,281.25		
Maryville TN PHA	10,000.00	H	1/23/92	1 Nov, 2004	5/1/97	275.00	11/1/97	275.00		
Chicago, IL PHA	50,000.00	H	9/13/93	1 Jun, 1998	6/1/97	718.75	12/1/97	718.75		
Detroit MI PHA	100,000.00	AN	10/23/87	1 Jun, 1999	6/1/97	2,625.00	12/1/97	2,625.00		

BOND DESCP	Par Value	LO	SETTL D	MATURE DA	COUP1	amt int	COUP 2	Amt	NEG mu	neg US i
Tacoma WA PHA	30,000.00	H	12/8/92	1 Jun, 2000	6/1/97	562.50	12/1/97	562.50		
Waco TX PHA	100,000.00	AN	10/23/87	1 Dec, 2001	6/1/97	2,625.00	12/1/97	2,625.00		
Peoria IL New PHA	25,000.00	H	4/15/93	1 Dec, 2002	6/1/97	656.25	12/1/97	656.25		
US T-Bill	40,000.00	H	11/6/97	8 Jan, 1998						
CD Harris	105,655.22	H	12/17/97	17 Jan, 1998						
X2785511-3 EE US bnd	30,000.00	AN	10/7/92	7 Oct, 2004						
*KC MO int pay mont										
Muni/US Notes Bills										
Sidney/ Current										
	1,035,655.22									

SCHEDULE E

PAGE 1

SID MATURE '97

BOND DESCP	Par Value	SETTL D.	MATURE DA	MATURE	LC	COUPD	amt int	COUP 2	amt	US int	neg US	CD Int
(gift to Steve)KanCit MO	80,000.00	8/4/93	1 Feb, 2003	1/3/97	H							
CD	100,435.35	12/9/96	9 Jan, 1997	1/9/97	H							412.34
CD	45,000.00	12/26/97	27 Jan, 1997	1/27/97	AN							177.87
US T-Bill	150,000.00	11/27/96	6 Feb, 1997	2/6/97	H					1,461.42		
CD	100,847.69	1/9/97	10 Feb, 1997	2/10/97	H							427.92
CD	45,000.00	1/27/97	26 Feb, 1997	2/26/97	AN							166.74
CD	101,275.61	2/10/97	10 Mar, 1997	3/10/97	H							376.02
US T-Bill	100,000.00	2/10/97	3 Apr, 1997	4/3/97	H					697.67		
CD	101,651.63	3/10/97	10 Apr, 1997	4/10/97	H							418.21
Reno NV PHA	10,000.00	6/26/92	1 May, 1997	5/1/97	H	5/1/97	175.00					
Wadena MN PHA	25,000.00	5/22/92	1 May, 1997	5/1/97	H	5/1/97	625.00					
Tulsa OK PHA	10,000.00	7/9/92	1 May, 1997	5/1/97	AN	5/1/97	250.00					
CD	102,069.84	4/10/97	12 May, 1997	5/12/97	H							450.11
CD Harris	102,519.95	5/12/97	12 Jun, 1997	6/12/97	H							437.97
US T-Bill	63,000.00	5/7/97	10 Jul, 1997	7/10/97	H					535.36		
CD Harris	102,957.92	6/12/97	14 Jul, 1997	7/14/97	H							454.51
CD Harris	103,412.43	7/14/97	14 Aug, 1997	8/21/97	H							441.78
Belton, TX PHA	25,000.00	8/24/93	1 Aug, 1997	8/1/97	H	2/1/97	421.88	8/1/97	421.88			
CD Harris	103,412.43	7/14/97	14 Aug, 1997	8/14/97	H							441.78
US T-Bill	70,000.00	7/18/97	21 Aug, 1997	8/21/97	H					323.94		
CD Harris	103,854.21	8/14/97	15 Sep, 1997	9/15/97	H							457.98
US T-Bill	85,000.00	8/27/97	18 Sep, 1997	9/18/97	H					263.36		
US T-Note	100,000.00	10/6/92	30 Sep, 1997	9/30/97	AN	3/31/9	2,750.00	9/30/97	2,750.00			
CD Harris	104,312.19	9/15/97	15 Oct, 1997	10/15/9	H						431.69	
CD Harris	104,743.88	10/15/97	17 Nov, 1997	11/17/9	H							476.34

BOND DESCP	Par Value	SETTL D	MATURE DA	MATURE	LC	COUPD	amt int	COUP 2	amt	US int	neg US	CD Int
CD Harris	105,220.22	11/17/97	17 Dec, 1997	12/17/9	H							435.00
Glenview IL Bond	5,000.00	2/10/95	1 Dec, 1997	12/1/97	H	6/1/97	135.00	12/1/97	135.00			

THE Vanguard GROUP

SIDNEY R YATES TR
UA 08/06/82
SIDNEY R YATES
230 S DEARBORN STREET RM 3920
CHICAGO IL 60604-1663

March 31, 1998, year-to-date

PORTFOLIO SUMMARY
Vanguard Flagship Service

For prompt service when calling, please provide your
Statement number: 623160001
(800) 345-1344 - Barbara C Dierolf
ext 7249 Registered Representative
(800) 662-6273 - Tele-Account

TOTAL OF ALL ACCOUNTS	Value on 12/31/1997	Value on 3/31/1998
	$ 109,341 76	$ 110,364.22

INVESTMENT ACCOUNTS	Value on 12/31/1997	Value on 3/31/1998
Vanguard Municipal Bond Fund-Money Market Portfolio	$ 49,632.78	$ 50,028 30
Vanguard Municipal Bond Fund-Limited-Term Portfolio	59,708 98	60,335.92
Total	$ 109,341 76	$ 110,364.22

Tax-exempt income year-to-date	$ 1,023.42

Portfolio allocation	
Money market funds	0 0%
Tax-exempt money market funds	45.3
Bond funds	0.0
Tax-exempt bond funds	54.7
Balanced funds	0 0
Equity funds	0 0
	100.0%

Vanguard will soon offer three new U.S. stock index funds: the Mid Capitalization Stock Portfolio, Small Capitalization Value Stock Portfolio, and Small Capitalization Growth Stock Portfolio. If you would like to receive a free information kit, which includes a prospectus, please call your Flagship Representative on or after April 20, 1998, when the Portfolios are expected to begin accepting investments. The call is toll-free: 1-800-345-1344.

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PRIORITY CLIENT SERVICES

Account No.	Taxpayer No.	Statement Period	Page
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SCHEDULE D

Priority Client Cash Management Account

SIDNEY R YATES TTEE
U/A DTD 08/06/82
BY SIDNEY R YATES
C/O DEBRA YATES
220 E WALTON ST # 6E
CHICAGO IL 60611-1534

Your Financial Consultant:
SCHWARTZ/LAPORTA
FC# 9367
(312) 696-7500

Your Merrill Lynch Office:
225 W WACKER DRIVE SUITE 1400
CHICAGO IL 60606

FOR CUSTOMER SERVICE QUESTIONS· 1-800-MER-ACCT (1-800-637-2228)

Monthly Portfolio Summary

Asset	11/28/97 Value	%	12/31/97 Value	%
Cash/Money Funds	114,341	43	115,949	42
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities	147,087	55	155,059	56
Mutual Funds	5,503	2	5,381	2
Options				
Other				
Long Market Value	266,931		276,389	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	266,931		276,389	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	571.26	5,576.65
Tax-Exempt CMA Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	1,044.79	3,559.07
Income Not Reported		
Total	1,616.05	9,135.72

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 115,949 Investor Credit Line

NEWS

As a service enhancement, your monthly Priority Client statement is now printed on both sides of the paper. No features of the statement have been eliminated and the information that had been printed on the back of the statement sheets appears on the last page and in a special enclosure.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	7908.25	7823.13	6448.27
Three-Month Treasury Bills	5.34%	5.19%	5.18%
Long-Term Treasury Bonds	5.92%	6.04%	6.64%

Account No.	Taxpayer No.	Statement Period	Page
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SIDNEY R YATES TTEE

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Funds	114,341.64	
Net Credits & Debits	1,607.80	9,024.60
Closing Balance Cash & Money Funds	115,949.44	

Credits	This Statement	Year-to-Date
Sales Income	1,616.05	9,135.72
Funds Received		
Other		22.13
Total Credits	1,616.05	9,157.85

Debits	This Statement	Year-to-D
Purchases		
Withdrawals		
Other	8.25	133
Total Debits	8.25	13:

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Curre Yield %
	Cash and Money Funds									
115,949	CMA MONEY FUND		1.00	115,949	1.00	115,949			6,029	5.20

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Account No.	Taxpayer No.	Statement Period	Page
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SIDNEY R YATES TTEE

Equity Weighting by Economic Sector

A - Basic Industries	0%	D - Consumer Cyclicals	0%	G - Credit Sensitive	45%
B - Capital Goods	0%	E - Consumer Growth	0%	H - Utilities	0%
C - Technology	50%	F - Energy	0%	I - Other	4%

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Cur Yi
	Equities										
801	** AON CORP COM	AOC	(G)	N/A	N/A	N/A	58.62	46,958	N/A	831	1
400	** AON CORP COM			N/A	N/A	N/A	58.62	23,450	N/A	415	1
1,201	Security Sub-Total							70,408		1,246	1
42	CANHORN CHEMICAL CORP CA	YCNH	(I)	N/A	N/A	N/A	.19	8	N/A		
345	SALOMON BROS FD INC	SBF	(I)	N/A	N/A	N/A	17.68	6,102	N/A	96	1
36	SALOMON BROS FD INC			12/28/94	10.81	389	17.68	636	247	10	1
381	Security Sub-Total					389		6,738	247	106	1
810	** HUBBELL INC CL B PAR .01	HUBB	(C)	N/A	N/A	N/A	49.31	39,942	N/A	939	2
40	** HUBBELL INC CL B PAR .01			N/A	N/A	N/A	49.31	1,972	N/A	46	2
850	Security Sub-Total							41,914		985	2
344	** INTL BUSINESS MACH	IBM	(C)	N/A	N/A	N/A	104.62	35,991	N/A	274	
	Total Equities					389		155,059	247	2,611	1

SIDNEY R YATES TTEE

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Cur Yi
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
678	ML EMGERG TIGERS FD CL A			03/04/94	14.95	10,138	7.93	5,374	(4,762)	16	
	(.9780 FRACTIONAL SHARE)			N/A	N/A	N/A	7.93	7	N/A		
	Total Client Investment			$10,005							
	Investment Return			($4,631)							
	Total Mutual Funds - Equity					10,138		5,381	(4,762)	16	
	Total Mutual Funds					10,138		5,381	(4,762)	16	
	Total of Long Portfolio					126,476*		276,389	(4,515)*	8,656	3

DATE ACQUIRED: Date of your initial investment in this fund
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

* - Excludes N/A Items

SIDNEY R YATES TTEE

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Security Transactions			
12/31		Divd Reinv	1	ML EMGERG TIGERS FD CL A REINV AMOUNT $8.25 REINV PRICE $7.95 QUANTITY BOT 1.0380			
				Net Total			
				Dividends and Interest			
12/10	*	Dividend		INTL BUSINESS MACH HOLDING 344.0000			68.80
12/19	*	Dividend		SALOMON BROS FD INC HOLDING 381.0000			26.67
12/19	*	Lg Tm Cap Gain		SALOMON BROS FD INC HOLDING 381.0000			864.87
12/19	*	Sh Tm Cap Gain		SALOMON BROS FD INC HOLDING 381.0000			76.20
12/31	*	Dividend		ML EMERG TIGERS FD CL A			8.25
12/31		Share Dividend	571	CMA MONEY FUND			
12/31		Cash Dividend		CMA MONEY FUND FROM 11-27 THRU 12-31			.26
		Income Total		CMA MONEY FUND SHARE DIVIDEND			571.00
				Net Total			1,616.05
				Other Activity			
12/31		Reinvestment		ML EMERG TIGERS FD CL A		8.25	
				Net Total		8.25	

Merrill Lynch
PRIORITY CLIENT SERVICES

Account No.	Taxpayer No.	Statement Period	Page
628-69497	356-03-6661	11/29/97 TO 12/31/97	6 OF 8

SIDNEY R YATES TTEE

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		22.13

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Share Balance
11/28	**Opening Balance**					.64CR	114,341
12/10	* Dividend		INTL BUSINESS MACH HOLDING 344.0000		68.80CR	69.44CR	114,341
12/15	Purchase	69	CMA MONEY FUND		69.00	.44CR	114,410
12/19	* Dividend		SALOMON BROS FD INC HOLDING 381.0000		26.67CR		
12/19	* Lg Tm Cap Gain		SALOMON BROS FD INC HOLDING 381.0000		864.87CR		
12/19	* Sh Tm Cap Gain		SALOMON BROS FD INC HOLDING 381.0000		76.20CR	968.18CR	114,410
12/22	Purchase	968	CMA MONEY FUND		968.00	.18CR	115,378

IDNEY R YATES TTEE

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Share Balance
12/31	* Dividend		ML EMERG TIGERS FD CL A		8.25CR		
12/31	Reinvestment		ML EMERG TIGERS FD CL A		8.25		
12/31	Divd Reinv	1	ML EMGERG TIGERS FD CL A				
			REINV AMOUNT $8.25				
			REINV PRICE $7.95				
			QUANTITY BOT 1.0380				
12/31	Share Dividend	571	CMA MONEY FUND				
12/31	Cash Dividend		CMA MONEY FUND		.26CR		
			FROM 11-27 THRU 12-31				
12/31	Closing Balance				.44CR	.44CR	115,949

Prudential Securities — Client Statement

Securities Account

Prudential Securities Incorporated, a subsidiary of The Prudential Insurance Company of America, Newark, New Jersey

For The Period.
October 1 - December 31, 1997

Account Number
0BL-142138-30

Total Account Net Worth

	OPENING	CLOSING
MONEY MARKET FUNDS	$1,051.00	$1,065.00
CASH BALANCE	$.52	$.52
TOTAL NET WORTH	$1,051.52	$1,065.52

Your Financial Advisor: DUANE HEILER
ASSOCIATE V.P. INVESTMENTS
1130 CONNECTICUT AVENUE N. W.
ELEVENTH FLOOR
WASHINGTON DC 20036
Telephone Number: 202-861-4400
E-mail Address: DUANE_HEILER@prbrusel.com

Income & Distributions

	THIS PERIOD	YEAR TO DATE
MONEY FUND DIVIDENDS	$14.00	$409.94
PARTNERSHIP DISTRIBUTIONS	$.00	$1,098.52
TOTAL INCOME	$14.00	$1,508.46

SIDNEY R YATES
2109 RAYBURN HOB
WASHINGTON DC 20007-7820

Portfolio Detail

	QUANTITY	CURRENT PRICE	CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
PRUDENTIAL MONEYMART ASSETS FUND	1,065	1.0000	$1,065.00		$55	5.24%	7 Day Yield
MONEY MARKET FUNDS			$1,065.00		$55		

Account Activity

		DATE	TRANSACTION	QUANTITY	PRICE/COMMENTS	AMOUNT DEBITED	AMOUNT CREDITED
PRU MONEYMART DIV REINV	09/24 - 10/23	10/24	Dividend	4	Money Fund		
PRU MONEYMART DIV REINV	10/24 - 11/23	11/24	Dividend	5	Money Fund		
PRU MONEYMART DIV REINV	11/24 - 12/23	12/24	Dividend	4	Money Fund		
PRU MONEYMART DIV REINV	12/24 - 12/30	12/31	Dividend	1	Money Fund		

IT'S TIME TO TAKE THE STEPS THAT CAN BRIGHTEN THE UPCOMING TAX SEASON. GET FOR A FREE COPY OF THE 1997 TAX PLANNING GUIDE. PRUDENTIAL SECURITIES IS NOT A TAX ADVISOR. CONSULT WITH YOUR TAX ADVISOR BEFORE MAKING ANY TAX RELATED INVESTMENT DECISIONS.

BEAR STEARNS

Bear, Stearns & Co. Inc.
Three First National Plaza
Chicago, Ill. 60602
(312) 580-4000

CLEARED THROUGH ITS
WHOLLY OWNED SUBSIDIARY
BEAR, STEARNS SECURITIES CORP.
ONE METROTECH CENTER NORTH
BROOKLYN, NEW YORK 11201-3859
(212) 272-1000

Account	A.E.	Tax I.D.	Period Ending	Last Statement	Page
031-92359	239	347-30-8413	12/31/97	11/28/97	1 of 1

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MRS ADELINE YATES
230 S DEARBORN ST ROOM 3920
CHICAGO IL 60604-1602

Important Message

IF ANY INFORMATION REGARDING 1997 INTEREST, DIVIDENDS, MISCELLANEOUS INCOME, GROSS PROCEEDS OR ORIGINAL ISSUE DISCOUNT IS REQUIRED TO BE REPORTED TO THE IRS FOR THIS ACCOUNT, A CONSOLIDATED 1099 FORM WILL BE MAILED TO YOU BY FEBRUARY 02, 1998 OR 1042S BY MARCH 16, 1998.

Financial Summary

Market Value of Securities

	Long	Short
Equities	$32,321	$0
Units	0	0
Preferred Equities	0	0
Mutual Funds	0	0
Bonds	0	0
Options	0	0
Other	0	0
Security Totals	$32,321	$0

Total Value of Securities This Period	$32,321
Net Cash Balance	0
Accrued Interest	0
Short Accrued Interest	0
Net Equity This Period	$32,321
Net Equity Last Statement	$30,202

Cash Balance Summary

Cash Balances	Opening	Closing
Cash	$0.00	$0.00
Net Cash Balance	$0.00	$0.00

Income Summary

	This Period	Year to Date
Dividends	$0.00	$459.00
Total Income	$0.00	$459.00
MLP	$0.00	$1,340.00
Total Distributions	$0.00	$1,340.00

Portfolio Positions

Account Type	Quantity	Description	Symbol/Cusip	Price	Market Value	Estimated Annual Income Rate	Amount
Equities/Options							
CASH	450	FIRST VIRGINIA BANKS INC WITH RIGHTS TO PURCHASE COMMON STK UNDER CERTAIN CIRCUMSTANCE	FVB	51.687	23,259	1.120	
CASH	1,000	FREEPORT MCMORAN-RESOURCE PARTNERS LP-DEPOSITORY UNITS	FRP	9.062	9,062	.400	
		Market Value - Equities			32,321		
		****** Your Priced Securities Value ******			32,321		

There are no "Stop Loss" orders or other pending buy or sell open orders on file for your account.

**** End of Statement*

PLEASE REPORT ANY DIFFERENCE OR NON-RECEIPT OF CHECKS OR STOCKS INDICATED AS DELIVERED TO YOU TO CLIENT SERVICES AT 800-634-1428; OR WRITE TO CLIENT SERVICES AT BEAR, STEARNS SECURITIES CORP. ONE METROTECH CENTER NORTH, BROOKLYN, N.Y. 11201-3859

ACORN INVESTMENT TRUST

Consolidated Account Statement

January 1, 1998 - March 31, 1998

Customer Service

Account Information	800-962-1585
Automated Balances	800-962-1585
Fund Information	800-922-6769

Visit us on line at www.wanger.com

ACOR 7608 ONE/DOMIF/01102 66684 33333 1/3 00000000

SIDNEY R YATES
4201 CATHEDRAL AV. N.W.
WASHINGTON DC 20016-4901

NEWS YOU CAN USE: MID-YEAR FUND DISTRIBUTIONS WILL TAKE PLACE IN JUNE THIS YEAR. DETAILED INFORMATION ABOUT THE DISTRIBUTIONS WILL APPEAR ON YOUR JUNE 30 STATEMENT

Summary–Total Value of Your Acorn Holdings

Changes In Portfolio Value

Beginning value as of Jan 1	$24,428 19
Change in investment value	$4,436 66
Ending value as of Mar 31	$28,864 85

Income Summary

	This Period	Year to Date
Non-IRA	$0.00	$0 00
IRA	$0 00	$0 00
Total	$0.00	$0 00

Social Security or Tax ID number on file

Summary–IRA and Non-IRA Holdings

Value by Account

	Investor Number	Net Value January 1, 1998	Net Value March 31, 1998
Non-IRA Mutual Funds			
Individual	25134	$24,428 19	$28,864 85
Total Portfolio Value		$24,428 19	$28,864 85

ACORN INVESTMENT TRUST

Consolidated Account Statement

January 1, 1998 - March 31, 1998

Your Portfolio Details

Non-IRA Investment 25134

Account Summary

Beginning value as of Jan 1	$24,428.19
Change in investment value	$4,436.66
Ending value as of Mar 31	$28,864.85

Income Summary

Non-IRA	This Period	Year to Date
Dividend	$0.00	$0.00
Long-Term Capital Gain	$0.00	$0.00
Short-Term Capital Gain	$0.00	$0.00
Total	$0.00	$0.00

Holdings

	Shares March 31, 1998	Price per Share March 31, 1998	Total Value January 1, 1998	Total Value March 31, 1998
ACORN INTERNATIONAL - Individual 100/7000031677	1,328.341	$21.73	$24,428.19	$28,864.85

Transaction Details (for holdings with activity this period)

	Date	Description	Shares	Price per Share	Transaction Amount	Total Value
ACORN INTERNATIONAL 100/7000031677 Individual	01/01/98	BEGINNING	1,328.341	$18.39		$24,428.19
		NO ACTIVITY				
	03/31/98	ENDING	1,328.341	$21.73		$28,864.85

Additional Information

Have you heard about the new Acorn Family of Funds Roth IRA and Education IRA? Call 1-800-9-ACORN-9 (1-800-922-6769) for more information

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December 1997

Net account value on November 28	$	222.60 *
Net account value on December 31	$	223.43 *
Money funds in 12/31 value	$	223.43

* Excludes unpriced assets. See back for details.

PAINEWEBBER INC.
265 FRANKLIN STREET
BOSTON, MA 02110-3196

IZBL00450S-X26 - 1297 - PW - 0

PaineWebber
Investment Account

Account Number PW 19430 YA

IZBL00450*

Your Investment Executive
BOSTON HOUSE ACCOUNT 617 439 8000

SIDNEY R YATES
4201 CATGEDRAK AVE NW #1005
WASHINGTON DC 20016-4901

Earnings and capital return summary

Earnings below are classified as taxable or non-taxable based on the tax status for the specific security on which the earnings are received and does not attempt to reflect your account's specific tax status or reporting requirements. Use only official tax reporting documents (e.g. 1099) for tax reporting purposes. The classification of Direct/Private investment distributions can only be determined by referring to the official year-end tax reporting document provided by the issuer.

		Current period		Year to date
Taxable				
PaineWebber Money fund dividends	$	.83	$	420.70
Total taxable earnings/capital return	$	.83	$	420.70

Asset summary

See reverse side for information on assets excluded from this summary.

	% of portfolio	Value
Money funds	100.00	223.43
Net account value		$ 223.43

Investment objectives

Investment objectives describe the general goals you have for your investments within an account. We understand that the investment objective(s) for this account are the following, in order of priority:

1 Income 2 Investment grade 3 Growth 4 Speculation

If you have any questions concerning these investment objectives, or wish to change the investment objectives for this account, call your Investment Executive or Branch Manager for your branch office.

Account instructions
Statement copies are sent to 1 interested party

Bulletin Board
AS 1998 BEGINS, WE WANT TO THANK YOU FOR YOUR VALUED RELATIONSHIP AND REAFFIRM OUR COMMITMENT TO PROVIDING ADVICE AND SOLUTIONS TO HELP ACHIEVE YOUR FINANCIAL GOALS.

Asset portfolio

Prices, income and current values may be approximate. Details on back.

Quantity/face value	Description	Price	Current value	Estimated income
223.430	CASHFUND	1.000	223.43	
	Opening balance $ 222.60 Avg yield 5.1% Current period 11/25 - 12/22			
	Total		$ 223.43	

Account Number PW 19430 YA
Your Investment Executive
BOSTON HOUSE ACCOUNT
617 439-8000

PaineWebber
Investment Account

12BL0045M.X

Activity

Date	Activity	Description	Quantity	Price / Value / Comment	Amount
11/28		Balance forward		$	.00
12/24	DIVIDEND	PAINE WEBBER CASHFUND			.83
12/24	BOUGHT	PAINE WEBBER CASHFUND	830	1	-.83
12/31		Closing balance		$	.00

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sidney R. Yates

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCERPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP	Various Bonds, Etc., Owned at 12/31/97 - See Schedule C Attached				
SP	Various Bonds, Etc., Disposed of During 1997 - See Schedule D Attached				
SP	Vanguard Muni-Bond Fund - See Attached				
SP	Merrill Lynch - Securities Owned at 12/31/97 - See Attached				
SP	Paine Webber Broker Account - See Attached				
SP	Acorn Funds - See Attached				

This page may be copied if more space is required

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BOND DESCP	Par Value	MATURE D	LOC	COUP 1	amt int	COUP 2 I	amt	neg US	NEG Mur
New York St. HSG	25,000.00	1 Nov, 2003	AN	5/1/97	687.50	11/1/97	687.50		
Yolo Cnty CA PHA	10,000.00	1 Jun, 2002	AN	6/1/97	156.24	12/1/97	156.24		
Minn MN PHA	100,000.00	1 Jan, 2001	AN	1/1/97	2,500.00	7/1/97	2,500.00		
Phoenix AZ	10,000.00	1 Aug, 1998	AN	2/1/97	193.70	8/1/97	193.70		
Cuyahoga OH PHA	25,000.00	1 Jul, 2000	H	1/1/97	640.63	7/1/97	640.63		
El Paso TX PHA	25,000.00	1 Jul, 2002	H	1/1/97	625.00	7/1/97	625.00		
Omaha NE PHA	25,000.00	1 May, 2004	H	5/1/97	593.75	11/1/97	593.75		
Merced Cnty CA PHA	25,000.00	1 Aug, 2001	AN	2/1/97	453.12	8/1/97	453.12		
Waynesboro GA PHA	35,000.00	1 Aug, 2001	AN	2/1/97	612.50	8/1/97	612.50		
Gainsville FL PHA	10,000.00	1 Feb, 1998	H	2/1/97	275.00	8/1/97	275.00		
Chicago IL PHA	25,000.00	1 Jun, 1999	H	6/1/97	421.88	12/1/97	421.88		
Northport AL PHA Bond	25,000.00	1 Jun, 2001	H	6/1/97	437.50	12/1/97	437.50		
Minneapolis MN PHA	40,000.00	1 Sep, 2001	H	3/1/97	1,150.00	9/1/97	1,150.00		
Winnebago & Boone Cnty IL	50,000.00	1 Feb, 1999	AN	2/1/97	1,200.00	8/1/97	1,200.00		
Fall River MA	25,000.00	1 Feb, 1998	H	2/1/97	421.88	8/1/97	421.88		
Lawrence MA PHA	20,000.00	1 Apr, 1998	H	4/1/97	337.50	10/1/97	337.50		
Minneapolis MN PHA	30,000.00	1 Jan, 2001	H	1/1/97	750.00	7/1/97	750.00		
Washoe Cnty NV Sch Dist	25,000.00	1 Jun, 2001	H	6/1/97	612.50	12/1/97	612.50		
Brick TWP NJ Pub HSG	25,000.00	1 May, 1998	H	5/1/97	656.25	11/1/97	656.25		
Tampa Fl PHA	25,000.00	1 Apr, 1998	H	4/1/97	406.25	10/1/97	406.25		
Richmond VA PHA	50,000.00	1 Aug, 2003	H	2/1/97	1,468.75	8/1/97	1,468.75		
Bettendorf IA Bond	25,000.00	1 Jun, 2007	H	6/1/97	637.50	12/1/97	637.50		
Fort Myers FL PHA	5,000.00	1 Mar, 2008	H	3/1/97	146.88	9/1/97	146.88		31.01
Waco TX PHA	15,000.00	1 Dec, 2004	H	6/1/97	375.00	12/1/97	375.00		266.67
*Metropolitan Council MN	25,000.00	1 Dec, 2002	H	6/1/97	692.71	12/1/97	593.75		85.76

BOND DESCP	Par Value	MATURE D/	LOC/	COUP 1	amt int	COUP 2	amt	neg US	NEG Mur
Chicksaw AL PHA	50,000.00	1 Jun, 1999	H	6/1/97	843.75	12/1/97	843.75		337 50
*Virginia Minn PHA	40,000.00	1 Apr, 2002	H			10/1/97	900 00		35 00
*Union & Alexander Cnty Il	35,000.00	1 Dec, 1998	H			12/1/97	1,167 83		220.50
*Princeton NJ	10,000.00	1 Jul, 2007	H			11/1/97	200 00		180.00
*New Orleans LA PHA	25,000.00	1 Aug, 1998	H						
US T-Bill	160,000.00	8 Jan, 1998	H						
CD Americna Ntional	25,786.75	16 Jan, 1998	AN						
CD Harris	105,655.22	17 Jan, 1998	H						
CD American National	43,479.98	28 Feb, 1998	AN						
Addie current									
Muni. note t-bills									

SCHEDULE D
PAGE 1

BOND DESCP	Par Value	SETTL D	MATURE DA	MATURE	call	US int 1	CD int	COUPD	amt int	COUP 2	amt	LOCA
CD American National	41,224.91	9/3/96	2 Jan, 1997	1/1/97	AN		306.07					
CD	100,435.35	12/9/96	9 Jan, 1997	1/9/97	H		412.34					
McKeesport PF New Pul	10,000.00	5/13/94	1 Feb, 1997	2/1/97	H			2/1/97	175.00			
US T-Bill	500,000.00	11/27/96	6 Feb, 1997	2/6/97	H	4,871.39						
CD Harris	100,847.69	1/9/97	10 Feb, 1997	2/10/97	H		427.92					
Omaha NE PHA	10,000.00	5/2/96	1 Mar, 1997	3/1/97	H			3/1/97	243 75			
CD American National	41,530.98	1/2/97	3 Mar, 1997	3/3/97	AN		376.02					
CD Harris	101,275.61	2/10/97	10 Mar, 1997	3/10/97	H		308.34					
US T-Bill	500,000.00	2/10/97	3 Apr, 1997	4/3/97	H	3,488.33						
CD Harris	101,651.63	3/10/97	10 Apr, 1997	4/10/97	H		418.21					
Lorain OH PHA	19,000.00	8/6/93	1 May, 1997	5/1/97	H			5/1/97	368.13			
US T-Bill	400,000.00	4/4/97	1 May, 1997	5/1/97	H	1,491.00						
CD American National	41,839.32	3/3/97	2 May, 1997	5/2/97	AN		307.17					
CD Harris	102,069.84	4/10/97	12 May, 1997	5/12/97	H		450.11					
CD Americna Ntional	25,000.00	3/26/97	20 May, 1997	5/20/97	AN		191.82					
US T-Bill	400,000.00	5/2/97	5 Jun, 1997	6/5/97	H	1,798.22						
CD Harris	102,519.95	5/12/97	12 Jun, 1997	6/12/97	H		437.97					
Jamestown RI PHA	20,000.00	4/13/92	1 Jul, 1997	7/1/97	H			1/1/97	525.00	7/1/97	525 00	
CD American National	42,146.49	5/2/97	1 Jul, 1997	7/1/97	An		333.85					
US T-Bill	87,000.00	5/7/97	10 Jul, 1997	7/10/97	H	739.31						
CD Harris	102,957.52	6/12/97	14 Jul, 1997	7/14/97	H		454.51					
CD American National	25,000.00	5/20/97	19 Jul, 1997	7/19/97	AN		199.55					
CD Harris	103,412.43	7/14/97	14 Aug, 1997	8/14/97	H		441.78					
US T-Bill	100,000.00	7/18/97	21 Aug, 1997	8/21/97	H	462 78						
CD American National	42,480.34	7/1/97	30 Aug, 1997	8/30/97	H		325.94					

Schedule B
Page 2

BOND DESCP	Par Value	SETTL D	MATURE DA	MATURE	call	US int 1	CD int	COUPD	amt int	COUP 2	amt	LOCA
CD Harris	103,854.21	8/14/97	15 Sep, 1997	9/15/97	H		457.98					
CD American National	25,391.37	7/19/97	17 Sep, 1997	9/17/97	AN	194.82						
US T-Bill	100,000.00	8/27/97	18 Sep, 1997	9/18/97	H	309.83						
UST-Bill	350,000.00	6/12/97	2 Oct, 1997	10/2/97	H	5,346.44						
CD Harris	104,312.19	9/15/97	15 Oct, 1997	10/15/97	H		431.69					
CD American National	42,806.28	8/30/97	29 Oct, 1997	10/29/97	H		328.44					
Summerville GA PHA	50,000.00	9/24/93	1 Nov, 1997	11/1/97	H			5/1/97	781.25	11/1/97	781.25	
CD Americna Ntional	25,586.19	9/17/97	16 Nov, 1997	11/16/97	H		395.38					
CD Harris	104,743.88	10/15/97	17 Nov, 1997	11/17/97	H		476.34					
CD Harris	105,220.22	11/17/97	17 Dec, 1997	12/17/97	H		435.00					
CD American National	43,134.72	10/29/97	28 Dec, 1997	12/28/98	H		345.26					
US T-Bill partial sale	24,614.58			6/13/97	H							

THE Vanguard GROUP.

Vanguard Municipal Bond Fund-
Money Market Portfolio

ADDIE YATES
C/O DEBRA F YATES
330 W DIVERSEY PKWY #1101
CHICAGO IL 60657

For prompt service when calling please provide your
Statement number: 002080593
(800) 662-2739 - Client Services
(800) 662-6273 - Tele-Account
Fund number 45
Account number 9840226744

ACCOUNT VALUE	12-31-96	On 9/30/97
	$45,391.89	$45,391.89

Trade date	Transaction	Dollar amount	Share price	Income yielded	Total shares owned
	Balance on 12/31/96		$1.00		45,391.890
1/31	Income dividend cash	$127.25			45,391.890
2/28	Income dividend cash	114.22			45,391.890
3/31	Income dividend cash	120.96			45,391.890
4/30	Income dividend cash	131.97			45,391.890
5/31	Income dividend cash	141.50			45,391.890
6/30	Income dividend cash	135.15			45,391.890
7/31	Income dividend cash	133.89			45,391.890
8/31	Income dividend cash	128.97			45,391.890
9/30	Income dividend cash	132.74			45,391.890
	Balance on 09/30/97		$1.00		45,391.890

Tax-exempt income $1,169.65

	Annualized yield	Compound annual yield	Distribution payable date
July	3.47%	3.53%	8/01/97
August	3.35	3.40	9/02/97
September	3.55	3.61	10/01/97

THE Vanguard GROUP.

DECEMBER 31, 1997

CHECK STATEMENT

ADDIE YATES
C/O DEBRA F YATES
220 E WALTON APT 6E
CHICAGO IL 60611

ACCOUNT VALUE
$45,391.89

FUND NUMBER 45
ACCOUNT NUMBER 9840226744
CHECK NUMBER 3103764

Vanguard
MUNICIPAL BOND FUND
Money Market Portfolio

ACCOUNT SERVICE
CALL 1-800-662-2739

Trade Date	Transaction Description	Dollar Amount	Share Price	Share Amount	Shares Owned
	BEGINNING BALANCE				45,391.890
10/31	INCOME DIVIDEND CASH	135.43		0.000	45,391.890
11/30	INCOME DIVIDEND CASH	135.65		0.000	45,391.890
12/31	INCOME DIVIDEND CASH	139.40		0.000	45,391.890

PAID THIS CALENDAR YEAR	Income Dividends	or	Tax Exempt Income	+	Short-Term Gains	+	Long-Term Gains	=	TOTAL DISTRIBUTIONS
			1,580.13						1,580.13

THE CURRENT DISTRIBUTION LISTED ABOVE WAS PAYABLE ON JANUARY 2, 1998

Detach this confirmation and retain for your records before cashing or depositing check.

X

Merrill Lynch

PRIORITY CLIENT SERVICES

Account No.	Taxpayer No.	Statement Period	Page
628-69498	347-30-8413	11/24/97 TO 12/31/97	1 OF 6

Priority Client Account

ADELINE YATES
220 E WALTON ST # 6E
CHICAGO IL 60611-1534

Your Financial Consultant:
SCHWARTZ/LAPORTA
FC# 9367
(312) 696-7500

Your Merrill Lynch Office:
225 W WACKER DRIVE SUITE 1400
CHICAGO IL 60606

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-ACCT (1-800-637-2228)

Monthly Portfolio Summary

Asset	11/28/97 Value	%	12/31/97 Value	%
Cash/Money Funds	19,465	5	20,765	5
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities	396,751	95	419,384	95
Mutual Funds				
Options				
Other				
Long Market Value	416,216		440,149	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	416,216		440,149	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	92.53	844.61
Tax-Exempt CMA Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	1,207.10	5,654.62
Income Not Reported		
Total	1,299.63	6,499.23

Items for Attention

Security	Message	Date
COCA COLA COM	Opinion Upgraded	

NEWS

As a service enhancement, your monthly Priority Client statement is now printed on both sides of the paper. No features of the statement have been eliminated and the information that had been printed on the back of the statement sheets appears on the last page and in a special enclosure.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	7908.25	7823.13	6448.27
Three-Month Treasury Bills	5.34%	5.19%	5.18
Long-Term Treasury Bonds	5.92%	6.04%	6.64

Merrill Lynch
PRIORITY CLIENT SERVICES

Account No.	Taxpayer No.	Statement Period	Page
628-69498	347-30-8413	11/29/97 TO 12/31/97	2 OF 6

ADELINE YATES

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Funds	19,465.73	
Net Credits & Debits	1,299.63	6,459.23
Closing Balance Cash & Money Funds	20,765.36	

Credits	This Statement	Year-to-Date
Sales Income Funds Received	1,299.63	6,499.23
Other		
Total Credits	1,299.63	6,499.23

Debits	This Statement	Year-to-Da
Purchases		
Withdrawals		
Other		40.
Total Debits		40.

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Funds									
	CASH			133		133				
20,632	MERRILL LYNCH READY ASSETS		1.00	20,632	1.00	20,632			1,067	5.17
	Total Cash/Money Funds			20,765		20,765			1,067	5.17

ADELINE YATES

Equity Weighting by Economic Sector

A - Basic Industries	0%	D - Consumer Cyclicals	16%	G - Credit Sensitive	2%
B - Capital Goods	0%	E - Consumer Growth	61%	H - Utilities	0%
C - Technology	0%	F - Energy	21%	I - Other	0%

Current Portfolio

Quantity		Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Curr Yie %
		Equities										
100		ATL RICHFLD $2 80 CV PFD	ARCPRC	(F)	N/A	N/A	N/A	350.00	66,500	N/A	532	
3,840	†	COCA COLA COM	KO	(E)	N/A	N/A	N/A	66.68	256,078	N/A	2,151	
560	**	FORD MOTOR COMPANY	F	(D)	N/A	N/A	N/A	48.56	27,194	N/A	941	3
560	**	FORD MOTOR COMPANY			N/A	N/A	N/A	48.56	27,194	N/A	941	3
1,120		Security Sub-Total							54,388		1,882	3
12		IMO INDUSTRIES INC	IMD	(B)	N/A	N/A	N/A	4.50	54	N/A		
242	**	OCCIDENTAL PETE CORP CAL	OXY	(F)	N/A	N/A	N/A	29.31	7,093	N/A	242	3
266	**	PEOPLES ENERGY CORP	PGL	(F)	N/A	N/A	N/A	39.37	10,473	N/A	500	4
160		T R W INC	TRW	(D)	N/A	N/A	N/A	53.37	8,540	N/A	198	2
15		T R W INC $4.40 CUCVPR 1	TRWPRB	(D)	N/A	N/A	N/A	400.00	6,000	N/A	66	1
800		TOREADOR ROYALTY	TRGL	(F)	N/A	N/A	N/A	4.43	3,549	N/A		
63		TRANSAMERICA CORP	TA	(G)	N/A	N/A	N/A	106.50	6,709	N/A	126	1

Account No.	Taxpayer No.	Statement Period	Page
628-69498	347-30-8413	11/29/97 TO 12/31/97	4 OF 6

ADELINE YATES

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Cur Yi
	Total Equities							419,384		5,697	1
	Total of Long Portfolio					20,765*		440,149	*	6,764	1

* - Excludes N/A Items

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Dividends and Interest			
12/01	*	Dividend		FORD MOTOR COMPANY HOLDING 1120.0000			470.40
12/15	*	Dividend		COCA COLA COM HOLDING 3840.0000			537.60
12/15	*	Dividend		T R W INC HOLDING 160.0000			49.60
12/15	*	Dividend		T R W INC $4.40 CUCVPR 1 HOLDING 15.0000			16.50
12/19	*	Dividend		ATL RICHFLD $2 80 CV PFD HOLDING 190.0000			133.00
		Income Total		MERRILL LYNCH READY ASSETS			92.53
				Net Total			1,299.63
				Funds Received, Withdrawals, and Charges			
12/18		Fund Delivery	-1,291	ML READY ASSETS TRUST			
12/18		Subscription	1,291	ML READY ASSETS TRUST		1,291.00	
				Net Total		1,291.00	

December 1997

Net account value on November 28	$	291.65 *
Net account value on December 31	$	292.75 *
Money funds in 12/31 value	$	292.75

* Excludes unpriced assets. See back for details

PaineWebber
Investment Account

PAINEWEBBER INC
265 FRANKLIN STREET
BOSTON, MA 02110-3196

NZEL056202-X26 - 1297 - PW - 0

Account Number PW 19431 YA

NZEL056202-X26
2316977 000003

Your Investment Executive
BOSTON HOUSE ACCOUNT 617 439-8000

ADELINE YATES
4201 CATHEDRAL AVE NW #1005
WASHINGTON DC 20016-4901

Earnings and capital return summary

Earnings below are classified as taxable or non-taxable based on the tax status for the specific security on which the earnings are received and does not attempt to reflect your account's specific tax status or reporting requirements. Use only official tax reporting documents (e.g. 1099) for tax reporting purposes. The classification of Direct/Private investment distributions can only be determined by referring to the official year-end tax reporting document provided by the issuer.

		Current period		Year-to-date
Taxable				
PaineWebber Money fund dividends	$	1.10	$	1,054.60
Total taxable earnings/capital return	$	1.10	$	1,054.60

Asset summary

See reverse side for information on assets excluded from this summary

	% of portfolio		Value
Money funds	100.00		292.75
Net account value		$	292.75

Investment objectives

Investment objectives describe the general goals you have for your investments within an account. We understand that the investment objective(s) for this account are the following, in order of priority:

1. Income 2. Investment grade 3. Growth 4. Speculation

If you have any questions concerning these investment objectives, or wish to change the investment objectives for this account, call your Investment Executive or Branch Manager for your branch office.

Account instructions
Statement copies are sent to 1 interested party

Bulletin Board
AS 1998 BEGINS, WE WANT TO THANK YOU FOR YOUR VALUED RELATIONSHIP AND REAFFIRM OUR COMMITMENT TO PROVIDING ADVICE AND SOLUTIONS TO HELP ACHIEVE YOUR FINANCIAL GOALS.

Asset portfolio

Prices, income and current values may be approximate. Details on back.

Quantity/face value	Description	Price	Current value	Est. annual income
292.750	CASHFUND	1.000	292.75	
	Opening balance $ 291.65 Avg yield 5.17% Int period 11/25 - 12/22			
	Total		$ 292.75	

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PaineWebber
Investment Account

Activity

Date	Activity	Description	Quantity	Price / Value / Comment	Amount
11/28		Balance forward			$ .00
12/24	DIVIDEND	PAINE WEBBER CASHFUND			.83
12/24	BOUGHT	PAINE WEBBER CASHFUND	830	1	-.83
12/31		Closing balance			$ .00

PaineWebber Confirmation

PAINEWEBBER INC.
265 FRANKLIN STREET
BOSTON, MA 02110-3196

PRO1002682

Account Number PW 19431
Your Investment Executive
BOSTON HOUSE ACCOUNT 617 439-8000

PW 19431 G 0001E

ADELINE YATES
4201 CATHEDRAL AVE NW #1005
WASHINGTON DC 20016-4901

'e confirm the following transaction

ade activity	Trade date	Date processed	Payment date/ Settlement date
)UGHT	03/21/1997	03/21/1997	03/21/1997

ference	Quantity/ Face value	Description	Price	Gross amount	Commission/ Mark-up	Accrued interest	Other Fees and charges	Total amount
/ A		PAINE WEBBER CASH FUND SHARES BOUGHT 2175.000 Duplicate confirmation. SYMBOL MMPWC CUSIP NO. 695627109	1	$2,175.00				$2,175.00
otal:				$2,175.00				$2,175.00

It is important that you retain this trade confirmation for your tax and financial records. When remittances/securities are due, they must be received by us at the address above on or before the payment/settlement date. Payments not received by the settlement date may be subject to a late settlement fee. Please indicate your account number on your check or correspondence. Make checks payable to PaineWebber Inc. Please see the back of this confirmation for additional terms and definitions applicable to this transaction.

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PaineWebber Confirmation

PAINEWEBBER INC.
265 FRANKLIN STREET
BOSTON, MA 02110-3196

PRO1002677

Account Number PW 19230
Your Investment Executive
BOSTON HOUSE ACCOUNT 617 439-8000

PW 19230 0 0001E

SIDNEY R YATES &
ADELINE H YATES JTWROS
4201 CATHEDRAL AVE NW
APARTMENT 1005
WASHINGTON DC 20016-4901

/e confirm the following transaction

ade activity	Trade date	Date processed	Payment date/ Settlement date
OUGHT	03/21/1997	03/21/1997	03/21/1997

ference	Quantity/ Face value	Description	Price	Gross amount	Commission/ Mark-up	Accrued interest	Other Fees and charges	Total amount
/ A		PAINE WEBBER CASH FUND SHARES BOUGHT 1962.000 Duplicate confirmation. SYMBOL MMPWC CUSIP NO. 695627109	1	$1,962.00				$1,962.00
otal:				$1,962.00				$1,962.00

It is important that you retain this trade confirmation for your tax and financial records. When remittances/securities are due, they must be received by us at the address above on or before the payment/settlement date. Payments not received by the settlement date may be subject to a late settlement fee. Please indicate your account number on your check or correspondence. Make checks payable to PaineWebber Inc. Please see the back of this confirmation for additional terms and definitions applicable to this transaction.

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ACORN INVESTMENT TRUST

Consolidated Account Statement
January 1, 1998 - March 31, 1998

Customer Service

Account Information	800-962-1585
Automated Balances	800-962-1585
Fund Information	800-922-6769

Visit us on line at www.wanger.com

AC10 19816 CHLJDCHUFLDIDZ 172688 59654 1/7 00000000

ADELINE YATES
C/O DEBRA F YATES
220 E WALTON ST APT 6E
CHICAGO IL 60611-1507

NEWS YOU CAN USE: MID-YEAR FUND DISTRIBUTIONS WILL TAKE PLACE IN JUNE THIS YEAR. DETAILED INFORMATION ABOUT THE DISTRIBUTIONS WILL APPEAR ON YOUR JUNE 30 STATEMENT.

Summary–Total Value of Your Acorn Holdings

Changes in Portfolio Value

Beginning value as of Jan 1	$375,889.83
Change in investment value	$49,736.80
Ending value as of Mar 31	$425,626.63

Income Summary

	This Period	Year to Date
Non-IRA	$0.00	$0.00
IRA	$0.00	$0.00
Total	$0.00	$0.00

Social Security or Tax ID number on file

Summary–IRA and Non-IRA Holdings

Value by Account

	Investor Number	Net Value January 1, 1998	Net Value March 31, 1998
Non-IRA Mutual Funds			
Individual	67130	$375,889.83	$425,626.63
Total Portfolio Value		$375,889.83	$425,626.63

CL00112

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ACORN INVESTMENT TRUST

Consolidated Account Statement

January 1, 1998 - March 31, 1998

Your Portfolio Details

Non-IRA Investment 67130

Account Summary

Beginning value as of Jan 1	$375,889.83
Change in investment value	$49,736.80
Ending value as of Mar 31	$425,626.63

Income Summary

Non-IRA	This Period	Year to Date
Dividend	$0.00	$0.00
Long-Term Capital Gain	$0.00	$0.00
Short-Term Capital Gain	$0.00	$0.00
Total	$0.00	$0.00

Holdings

	Shares March 31, 1998	Price per Share March 31, 1998	Total Value January 1, 1998	Total Value March 31, 1998
ACORN FUND - Individual 90/10070050	17,722.036	$19.03	$301,097.39	$337,250.35
ACORN INTERNATIONAL - Individual 100/7000026660	4,067.017	$21.73	$74,792.44	$88,376.28

Transaction Details (for holdings with activity this period)

	Date	Description	Shares	Price per Share	Transaction Amount	Total Value
ACORN FUND 90/10070050 Individual	01/01/98	BEGINNING	17,722.036	$16.99		$301,097.39
		NO ACTIVITY				
	03/31/98	ENDING	17,722.036	$19.03		$337,250.35
ACORN INTERNATIONAL 100/7000026660 Individual	01/01/98	BEGINNING	4,067.017	$18.39		$74,792.44
		NO ACTIVITY				
	03/31/98	ENDING	4,067.017	$21.73		$88,376.28

Additional Information

Have you heard about the new Acorn Family of Funds Roth IRA and Education IRA? Call 1-800-9-ACORN-9 (1-800-922-6769) for more information

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C10013

ACORN FUND

ACCOUNT STATEMENT DATE: DECEMBER 10, 1997

ACORN INVESTMENT TRUST

ADELINE YATES
C/O DEBRA F YATES
220 E WALTON ST APT 6E
CHICAGO IL 60611-1507

Social Security or Tax ID Number ON FILE

Fund No	Account No	
90	10070050	1

CONFIRM DATE	TRADE DATE	DESCRIPTION OF TRANSACTION		DOLLAR AMOUNT OF TRANSACTION	SHARE PRICE	SHARES THIS TRANSACTION	TOTAL SHARES OWNED
		BEGINNING BALANCE AS OF 7/30/1997					15 015 [illegible]
7/30	7/23	INCOME REINVEST	05	$800 91	$17 05	46 974	15 [illegible]
7/30	7/23	CAP GAIN REINVEST	19	$3,043 44	$17 05	178 501	16 243 59
12/17	12/10	INCOME REINVEST	11	$1,786 79	$16 81	106 293	[illegible]
12/17	12/10	CAP GAIN REINVEST	1 42	$23 065 90	$16 81	1,372 153	[illegible]

YOUR ACCOUNT VALUE ON 12/10/1997: 17,722 0360 X $16 81 = $297,907 43

YEAR-TO-DATE SUMMARY	INCOME DIVIDENDS	+	CAPITAL GAINS	TOTAL DISTRIBUTIONS
	$2,587.70		$26,109 34	$28,697 04

YOUR PAYMENT OPTION DIVIDEND	CAP GAIN		CERTIFICATED SHARES
REINVEST	REINVEST	QUESTIONS ABOUT YOUR STATEMENT? CALL 1-800-962-1585	1,446 0000

ADELINE YATES
C/O DEBRA F YATES
220 E WALTON ST APT 6E
CHICAGO IL 60611-1507

Social Security or Tax ID Number ON FILE

Fund No	Account No.	Sp Chk. Dig.
90	10070050	1

CHANGING YOUR ADDRESS?

☐ Place an X in the box at left and complete the reverse side

INVEST BY MAIL

USE THIS ENCODED STUB TO MAKE ADDITIONAL PURCHASES INTO THIS ACCOUNT ONLY

- Please make all checks payable to
  ACORN FUND
- Write your account number on each check
- Return your checks with this stub in the enclosed envelope or mail to
  State Street Bank and Trust
  P.O. Box 8502
  Boston, MA 02266-8502

ACORN INVESTMENT TRUST

LIST EACH CHECK BELOW

INVESTMENT AMOUNT
$100.00 MINIMUM

$

ACORN INTERNATIONAL

ACCOUNT STATEMENT DATE: DECEMBER 10, 1997

ACORN INVESTMENT TRUST

ADELINE YATES
C/O DEBRA F YATES
220 E WALTON ST APT 6E
CHICAGO IL 60611-1507

Social Security or Tax ID Number: ON FILE

Fund No	Account No	Chk. Dgt.
100	7000026660	9

CONFIRM DATE	TRADE DATE	DESCRIPTION OF TRANSACTION	DOLLAR AMOUNT OF TRANSACTION	SHARE PRICE	SHARES THIS TRANSACTION	TOTAL SHARES OWNED
		BEGINNING BALANCE AS OF 7/30/1997				3,806 942
7/30	7/23	INCOME REINVEST .08	$304 56	$21 17	14 386	3,821 328
7/30	7/23	CAP GAIN RE'NVEST .14	$532 97	$21 17	25 176	3,846 504
12/17	12/10	INCOME REINVEST .30	$1,153 95	$18 49	62 409	3,908 913
12/17	12/10	CAP GAIN REINVEST .76	$2,923 34	$18 49	158 104	4,067 017

YOUR ACCOUNT VALUE ON 12/10/1997: 4,067.0170 X $18 49 = $75,199 14

YEAR TO DATE SUMMARY	INCOME DIVIDENDS	+	CAPITAL GAINS	=	TOTAL DISTRIBUTIONS
	$1,458 51		$3,456 31		$4,914 82

YOUR PAYMENT OPTION DIVIDEND	CAP GAIN	CERTIFICATED SHARES
REINVEST	REINVEST	

QUESTIONS ABOUT YOUR STATEMENT?
CALL 1-800-962-1585

ADELINE YATES
C/O DEBRA F YATES
220 E WALTON ST APT 6E
CHICAGO IL 60611-1507

Social Security or Tax ID Number: ON FILE

Fund No	Account No	Chk. Dgt.
100	7000026660	9

CHANGING YOUR ADDRESS?

Please check box at left and complete the reverse side

INVEST BY MAIL

USE THIS ENCODED STUB TO MAKE ADDITIONAL PURCHASES INTO THIS ACCOUNT ONLY

- Please make all checks payable to

  ACORN INTERNATIONAL
- Write your account number on each check
- Return your checks with this stub in the enclosed envelope or mail to
  State Street Bank and Trust
  PO. Box 8502
  Boston, MA 02266-8502

ACORN INVESTMENT TRUST

LIST EACH CHECK BELOW

INVESTMENT AMOUNT
$100.00 MINIMUM

$

SCHEDULE IV — TRANSACTIONS

Name: Sidney R. Yates

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-97		X								
	Various Securities - Per Attached Schedule E														
SP	Various Securities - Per Attached Schedule F														
	See Also Attached Draft Copy of Form 1040 - Schedule D														

This page may be copied if more space is required.

SIDNEY YATES - MATURITES ETC

BOND DESCP	jan	Paid	Rec	cap gn loss	Par Value
(gift to Steve)KanCit MO	256.39				80,000.00
CD					100,435.35
CD					45,000.00
US T-Bill					150,000.00
CD					100,847.69
CD					45,000.00
CD					101,275.61
US T-Bill					100,000.00
CD					101,651.63
Reno NV PHA		9,259.00	10,000.00	741.00	10,000.00
Wadena MN PHA		25,000.00	25,000.00	0.00	25,000.00
Tulsa OK PHA		9,915.00	10,000.00	85.00	10,000.00
CD					102,069.84
CD Harris					102,519.95
US T-Bill					63,000.00
CD Harris	H				102,957.92
CD Harris					103,412.43
Belton, TX PHA		24,704.25	25,000.00	295.75	25,000.00
CD Harris					103,412.43
US T-Bill					70,000.00
CD Harris					103,854.21
US T-Bill					85,000.00
US T-Note		101,718.75	100,000.00	-1,718.75	100,000.00
CD Harris					104,312.19
CD Harris					104,743.88

BOND DESCP	jan	Paid	Rec	cap gn loss	Par Value
CD Harris					105,220.22
Glenview IL Bond		5,011.60	5,000.00	-11 60	5,000.00

ADDIE YATES - MATURITIES, ETC

BOND DESCP	Paid	received	capitl gn L
CD American National			
CD			
McKeesport PF New Pul	9,834.10	10,000.00	165.90
US T-Bill			
CD Harris			
Omaha NE PHA	10,070.20	10,000.00	-70.20
CD American National			
CD Harris			
US T-Bill			
CD Harris			
Lorain OH PHA	19,000.00	19,000.00	0.00
US T-Bill			
CD American National			
CD Harris			
CD Americna Ntional			
US T-Bill			
CD Harris			
Jamestown RI PHA	20,225.40	20,000.00	-225.40
CD American National			
US T-Bill			
CD Harris			
CD American National			
CD Harris			
US T-Bill			
CD American National			

BOND DESCP	Paid	received	capitl gn L
CD Harris			
CD American National			
US T-Bill			
UST-Bill			
CD Harris			
CD American National			
Summerville GA PHA	49,476.00	50,000.00	524.00
CD Americna Ntional			
CD Harris			
CD Harris			
CD American National			
US T-Bill partial sale			

SCHEDULE D (Form 1040)

Department of the Treasury
Internal Revenue Service (99)

Capital Gains and Losses

▶ Attach to Form 1040. ▶ See Instructions for Schedule D (Form 1040).
▶ Use Schedule D-1 for more space to list transactions for lines 1 and 8.

OMB No 1545-0074

1997

Attachment Sequence No 12

Name(s) shown on Form 1040: SIDNEY & ADELINE YATES

Your social security number: 356 03 6661

Part I Short-Term Capital Gains and Losses - Assets Held One Year or Less

(a) Description of property (Example: 100 sh XYZ Co)	(b) Date acquired	(c) Date sold	(d) Sales price (See page D-3)	(e) Cost or other basis (See page D-4)	(f) GAIN or (LOSS) FOR ENTIRE YEAR Subtract (e) from (d)
1 SEE STATEMENT 18			2,869,615.	2,869,975.	-360.

2 Enter your short-term totals, if any, from Schedule D-1, line 2	2		
3 **Total short-term sales price amounts.** Add column (d) of lines 1 and 2	3	2,869,615.	
4 Short-term gain from Forms 2119 and 6252, and short-term gain or (loss) from Forms 4684, 6781, and 8824	4		
5 Net short-term gain or (loss) from partnerships, S corporations, estates, and trusts from Schedule(s) K-1	5		
6 Short-term capital loss carryover. Enter the amount, if any, from line 9 of your 1996 Capital Loss Carryover Worksheet	6	( )	
7 **Net short-term capital gain or (loss).** Combine lines 1 through 6 in column (f) ▶	7	-360.	

Part II Long-Term Capital Gains and Losses - Assets Held More Than One Year

(a) Description of property (Example: 100 sh XYZ Co)	(b) Date acquired	(c) Date sold	(d) Sales price (See page D-3)	(e) Cost or other basis (See page D-4)	(f) GAIN or (LOSS) FOR ENTIRE YEAR Subtract (e) from (d)	(g) 28% RATE GAIN or (LOSS) * (see instr below)
8 SEE STATEMENT 19			274,022.	274,324.	-302.	826.

9 Enter your long-term totals, if any, from Schedule D-1, line 9	9			
10 **Total long-term sales price amounts.** Add column (d) of lines 8 and 9	10	274,022.		
11 Gain from Form 4797, Part I; long-term gain from Forms 2119, 2439, and 6252; and long-term gain or loss from Forms 4684, 6781, and 8824	11			
12 Net long-term gain or (loss) from partnerships, S corporations, estates, and trusts from Schedule(s) K-1	12		16.	16.
13 Capital gain distributions	13		31,769.	13,264.
14 Long-term capital loss carryover. Enter in both columns (f) and (g) the amount, if any, from line 14 of your 1996 Capital Loss Carryover Worksheet	14		( )	( )
15 Combine lines 8 through 14 in column (g)	15			14,106.
16 **Net long-term capital gain or (loss).** Combine lines 8 through 14 in column (f) ▶	16		31,483.	

* **28% Rate Gain or Loss** includes all gains and losses in Part II, column (f) from sales, exchanges, conversions (including installment payments received) **either:**
- **Before** May 7, 1997, or
- **After** July 28, 1997, for assets held more than 1 year but **not** more than 18 months.

It also includes **ALL** "collectibles gains and losses" (as defined on page D-4).

LHA **For Paperwork Reduction Act Notice, see Form 1040 instructions.** **Schedule D (Form 1040) 1997**

720511/11-25-97

10170504 769633 8970-1 050 YATES, SIDNEY 8970-1_1

Part III Summary of Parts I and II

17 Combine lines 7 and 16. If a loss, go to line 18. If a gain, enter the gain on Form 1040, line 13 **Next:** Complete Form 1040 through line 38. Then, go to **Part IV** to figure your tax if: • Both lines 16 and 17 are gains, **and** • Form 1040, line 38, is more than zero.	17	31,123.
18 If line 17 is a loss, enter here and as a (loss) on Form 1040, line 13, the **smaller** of these losses: • The loss on line 17; or • (3,000) or, if married filing separately, (1,500) **Next:** Complete Form 1040 through line 36. Then, complete the **Capital Loss Carryover Worksheet** on page D-4 if: • The loss on line 17 exceeds the loss on line 18, or • Form 1040, line 36, is a loss	18	( )

Part IV Tax Computation Using Maximum Capital Gains Rates

19 Enter your taxable income from Form 1040, line 38			19	216,391.
20 Enter the **smaller** of line 16 or line 17	20	31,123.		
21 If you are filing Form 4952, enter the amount from Form 4952, line 4e	21			
22 Subtract line 21 from line 20. If zero or less, enter -0-	22	31,123.		
23 Combine line 7 and 15. If zero or less, enter -0-	23	13,746.		
24 Enter the **smaller** of line 15 or line 23, but not less than zero	24	13,746.		
25 Enter your unrecaptured section 1250 gain, if any (see page D-4)	25			
26 Add lines 24 and 25	26	13,746.		
27 Subtract line 26 from line 22. If zero or less, enter -0-			27	17,377.
28 Subtract line 27 from line 19. If zero or less, enter -0-			28	199,014.
29 Enter the **smaller** of line 19 or $41,200 ($24,650 if single; $20,600 if married filing separately; $33,050 if head of household)			29	41,200.
30 Enter the **smaller** of line 28 or line 29			30	41,200.
31 Subtract line 22 from line 19. If zero or less, enter -0-			31	185,268.
32 Enter the **larger** of line 30 or line 31			32	185,268.
33 Figure the tax on the amount on line 32. Use the Tax Table or Tax Rate Schedules, whichever applies ▶			33	50,765.
34 Enter the amount from line 29			34	41,200.
35 Enter the amount from line 28			35	199,014.
36 Subtract line 35 from line 34. If zero or less, enter -0-			36	0.
37 Multiply line 36 by 10% (.10) ▶			37	
38 Enter the **smaller** of line 19 or line 27			38	17,377.
39 Enter the amount from line 36			39	
40 Subtract line 39 from line 38. If zero or less, enter -0-			40	17,377.
41 Multiply line 40 by 20% (.20) ▶			41	3,475.
42 Enter the **smaller** of line 22 or line 25			42	
43 Add lines 22 and 32	43	216,391.		
44 Enter the amount from line 19	44	216,391.		
45 Subtract line 44 from line 43. If zero or less, enter -0-			45	0.
46 Subtract line 45 from line 42. If zero or less, enter -0-			46	0.
47 Multiply line 46 by 25% (.25) ▶			47	
48 Enter the amount from line 19			48	216,391.
49 Add lines 32, 36, 40, and 46			49	202,645.
50 Subtract line 49 from line 48			50	13,746.
51 Multiply line 50 by 28% (.28) ▶			51	3,849.
52 Add lines 33, 37, 41, 47, and 51			52	58,089.
53 Figure the tax on the amount on line 19. Use the Tax Table or Tax Rate Schedules, whichever applies			53	61,969.
54 **Tax.** Enter the **smaller** of line 52 or line 53 here and on Form 1040, line 39 ▶			54	58,089.

SIDNEY & ADELINE YATES 356-03-6661

SCHEDULE D SHORT-TERM CAPITAL GAINS AND LOSSES STATEMENT 18

DESCRIPTION	ACQUIRED	SOLD	PRICE	COST	GAIN OR LOSS
10000 OMAHA NEBRASKA NEW PUB HSG AUTH	04/29/96	03/01/97	10,000.	10,000.	0.
150000 US TREASURY BILL	11/27/96	02/06/97	150,000.	150,000.	0.
100000 US TREASURY BILL	02/10/97	04/03/97	100,000.	100,000.	0.
85000 US TREASURY BILL	08/26/97	09/18/97	85,000.	85,000.	0.
63000 US TREASURY BILL	05/06/97	07/10/97	63,000.	63,000.	0.
500000 US TREASURY BILL	11/27/96	02/06/97	500,000.	500,000.	0.
500000 US TREASURY BILL	02/10/97	04/03/97	500,000.	500,000.	0.
400000 US TREASURY BILL	04/03/97	05/01/97	400,000.	400,000.	0.
100000 US TREASURY BILL	07/17/97	08/21/97	100,000.	100,000.	0.
100000 US TREASURY BILL	08/26/97	09/18/97	100,000.	100,000.	0.
400000 US TREASURY BILL	05/01/97	06/05/97	400,000.	400,000.	0.
87000 US TREASURY BILL	05/06/97	07/10/97	87,000.	87,000.	0.
350000 US TREASURY BILL	06/11/97	10/02/97	350,000.	350,000.	0.
25000 US TREASURY BILL	06/11/97	06/13/97	24,615.	24,975.	-360.
TOTAL TO SCH. D, PAGE 1, LINE 1			2,869,615.	2,869,975.	-360.

SCHEDULE D LONG-TERM CAPITAL GAINS AND LOSSES STATEMENT 19

DESCRIPTION	ACQUIRED	SOLD	PRICE	COST	GAIN OR LOSS	28% GAIN
AON CORP - CASH IN LIEU OF FRACTIONAL SHARES	VARIOUS	05/22/97	22.		22.	
100000 US TREASURY NOTES	10/05/92	09/30/97	100,000.	101,809.	-1,809.	
10000 TULSA OK NEW PUB HSG AUTH	07/09/92	05/01/97	10,000.	9,915.	85.	85.
25000 BELTON TEXAS NEW PUB HSG AUTH	08/24/93	08/01/97	25,000.	24,704.	296.	
5000 GLENVIEW IL BD ANTIC BONDLONG	02/03/95	12/01/97	5,000.	5,000.	0.	
10000 RENO NEVADA NEW PUB HSG AUTH	06/09/92	05/01/97	10,000.	9,259.	741.	741.

SIDNEY & ADELINE YATES 356-03-6661

25000 WADENA MN NEW PUB HSG AUTH	05/15/92	05/01/97	25,000.	25,000.	0.	
20000 JAMESTOWN RI NEW PUB HSG AUTH	04/06/92	07/01/97	20,000.	20,161.	-161.	
19000 LORAIN OHIO NEW PUB HSG AUTH	08/01/93	05/01/97	19,000.	19,000.	0.	
10000 MCKEESPORT PA NEW PUB HSG AUTH	05/13/94	02/01/97	10,000.	10,000.	0.	
50000 SUMMERVILLE GA NEW PUB HSG AUTH	09/24/93	11/01/97	50,000.	49,476.	524.	
TOTAL TO SCH. D, PART II, LINE 8			274,022.	274,324.	-302.	826.

Name	Sidney R. Yates	Page 9 of 11

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St., Dover, Del*				X						
	None											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
None							

This page may be copied if more space is required.

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SCHEDULE VIII — POSITIONS

Report all positions compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization
Ltd. Partner	See Partnerships

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement
	None	

GPO 1998 46-260 (mac)

Use additional sheets if more space is required.

4506

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

RECEIVED
98 MAY 14 AM 10: 07
CLERK OF THE HOUSE OF REPRESENTATIVES

C. W. Bill Young
(Full Name)

2407 Rayburn House Office Building
Washington, DC 20515
(Mailing Address)

202-225-5961
Daytime Telephone

MC HAND DELIVERED (2)
(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State FL District 10	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	[ ]	[X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	[ ]	[X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[ ]	[X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	[ ]	[X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[ ]	[X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001).

SIGNATURE OF REPORTING INDIVIDUAL

DATE (Month/Day/Year) May 14, 1998

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Rep. C. W. Bill Young

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of in come which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP, DC, JT	*Examples* SP Mega Corp. Stock					X								X										X								P
	Simon & Schuster			Indefinite																Royalties								X				
	1st Bank of Paducah, KY accounts						X									X									X							
SP	Wright Patman FCU-IRA			X																		NA										
	Note receivable from Harold and Judith Flynn (paid off in 1997)	X														X									X							
JT	Wright Patman FCU				X											X							X									

For additional assets and unearned income, use next page.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1997

FORM A
For use by Members, officers, and employees

98 MAY 14 PM 1:07

HAND DELIVERED

MC (Office Use Only) (6)

DONALD EDWIN YOUNG (Full Name)

2111 RAYBURN H.O.B. (Mailing Address)

WASHINGTON, DC 20515

202-225-5765 Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State ALASKA District AT LARGE; [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15); [ ] Amendment; [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[X]	[ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	[ ]	[X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[X]	[ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	[ ]	[X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION– Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, §104 and 18 U.S.C. §1001)

SIGNATURE OF REPORTING INDIVIDUAL: D. E. Young

DATE (Month/Day/Year): 5-14-98

4509

Name DONALD EDWIN YOUNG	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	STATE OF ALASKA	LEGISLATIVE TEACHERS PENSION	4,683
	FUNDRAISING INCOME	Spouse Salary	3,000

For payments to charity in lieu of honoraria, use Schedule II.

Name DONALD EDWIN YOUNG | Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan that is *self-directed*, list the underlying assets worth more than $1,000. For an IRA or retirement plan that is not selfdirected, name the institution holding the account.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totalling $5,000 or less in personal savings accounts, any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 – $1,000	C $1,001 – $15,000	$15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP.	Examples: SP Mega Corp Stock					X								X										X								P
DC.	Examples: Simon & Schuster			Indefinite																Royalties									X			
JT	Examples: 1st Bank of Paducah, KY accounts						X									X									X							
JT	PUTMAN FUND FOR GROWTH INCOME						X							X			X								X							
	DOYON LTD, FAIRBANKS AK	X												X							X											
	STATE FARM INSURANCE			X												X							X									
SP	WRIGHT PATMAN CONG. FEDERAL CREDIT UNION IRA			X										X								X										
	WRIGHT PATMAN CONG. F.C.U. IRA				X									X										X								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name DONALD EDWIN YOUNG

SP. DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
	NEW YORK LIFE INSURANCE					X										X							X									
	2635 ALDERBERRY TRAIL																															
	FAIRBANKS, AK					X									X										X							
SP	GWITCH YAA ZEE NATIVE CORP.			X																	X											
	AA PRODUCTION INC, LUBBOCK TX			X											X									X								
	ALASKA GOLD LTD, PARTNERSHIP																															
	CAITHNESS Mgmt INC. N.Y. NY			X																	X											
	STATE OF ALASKA PERMANENT FUND	X												X										X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude**: Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	NATIONAL BANK OF ALASKA	MORT. ON 2835 ALDERBERRY TRAIL FAIRBANKS, AK		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51) prohibits gifts except as specifically provided in the rule.

Source		Description	Value
Example	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name DONALD EDWIN YOUNG | Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Raycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
DEE DOT TIMBERLANDS	JAN. 17-19	D.C. - JACKSONVILLE, FLA - DC	Y	Y	N	N
WESTERN STATES LEADERSHIP CONF.	Oct. 2-5	D.C. - RENO - DC	Y	~~Y~~ N	~~N~~ Y	N

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